

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-1
---------------------------	-------------------------------------	-------------------------------------------	-------------------------

CHAPTER 6

RECORDS DISPOSITION

PAGE

6A.	Records Disposition	6-1
1.	Mandatory Application	6-1
2.	Records Unidentified by Specific Disposition Instructions	6-1
3.	Exceptions to Disposition Standards	6-2
4.	Changes in Disposition Instructions	6-2
	a. Increased Retention Periods	6-2
	b. Reduced Retention Periods	6-2
5.	Disposition Methods	6-2
	a. Destruction	6-2
	b. Retirement	6-3
6.	Standards for Retaining Records	6-3
6B.	Responsibilities and Duties	6-4
6C.	Procedures for Surveying and Disposing of Files ...	6-4
1.	Retiring Files	6-4
	a. Packing Boxes	6-4
	b. Marking Boxes	6-6
2.	Preparing a Shelf List	6-6
3.	Submitting Shelf Lists to the AID Records Depository	6-8
	a. AID/W	6-8
	b. Overseas	6-10
4.	Keeping Shelf Lists in the Office	6-10
5.	Transferring Boxes to the AID Records Depository	6-10
	a. AID/W	6-10
	b. Overseas	6-12
6D.	Processing Files in the AID Records Depository	6-15
6E.	Retrieving Retired Files from WNRC	6-15
1.	AID/W	6-15
2.	Overseas	6-17
3.	Returning Files to WNRC	6-17
4.	Withdrawing Files from WNRC Permanently	6-17
6F.	Retrieving Retired Official Personnel Folders from NPRC	6-18
1.	AID/W	6-1
2.	Overseas	6-18

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-3
---------------------------	-------------------------------------	-------------------------------------------	-------------------------

6G.	Disposing of Records During Close-Out of, or Emergency Situations in, Overseas Offices	6-20
1.	Normal and Immediate Close-Out	6-20
2.	Emergency Situations	6-20
a.	General	6-20
3.	Menaces to Health or Property	6-21
4.	Reporting Requirement	6-21
6H.	Managing Local Storage Facilities	6-21
1.	Need	6-21
2.	Objectives	6-22
3.	Physical Features	6-22
4.	Procedures	6-23
5.	Control in Local Storage	6-24
6.	Retrieval from Local Storage	6-24
7.	Annual Review (C&R Personnel)	6-24
6I.	Supplies for Retiring Files	6-24
6J.	Records Disposition	6-24

LIST OF FIGURES

6-1	Notification of Retirement of Inactive Files, AID Form 5-45
6-2	Form 135-A Shelf List
6-3	Shelf List-Alternate
6-4	Shelf List Memorandum
6-5	Cardboard Shipping/Storage Box
6-6	Wood Shipping Crate
6-7	Reference Request--Federal Records Center (OF 11)
6-8	Request for Official Personnel Folder (SF 127)

APPENDIX

6A	Records Disposition Schedule--A.I.D/W Index to AID/W Schedule
6B	Records Disposition Schedule--USAID Index to USAID Schedule
6C	Records Disposition Schedule--Machine Readable Records (Reserved) - See Mandatory Reference for ADS 502 entitled, Electronic Records Disposition Schedule.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

CHAPTER 6

RECORDS DISPOSITION

6A. Records Disposition

Records created or received by each office as documentation of its organizational functions, policies, decisions, procedures, operations, or other essential activities must be preserved in accordance with applicable Federal laws, regulations and procedures. Under the same laws and regulations inactive and obsolete files must be systematically eliminated through retirement to a local storage area, a Federal records center, or by being destroyed. The Records Disposition Schedule (Appendix 6A-6C), developed in conjunction with the National Archives and Records Administration, is the authority and guide for records disposition in AID. The Introduction to the Schedule gives information on its proper usage and application.

Disposition, as used in the handbook, means the transfer, retirement, and/or disposal of record or nonrecord material. Destruction or other disposal of records should be carried out in accordance with existing security regulations.

1. Mandatory Application

The application of disposition standards provided in this chapter and in the Records Disposition Schedule is mandatory. (See 6A3 below for the procedure for obtaining exceptions.) These standards have been concurred in by program officials, the Agency Records Management Officer, the Archivist of the United States, and other appropriate Government agencies. Official records documenting approved records retention and disposal standards are maintained by the Records Management Branch (M/SER/MO/PA/RM).

2. Records Unidentified by Specific Disposition Instructions

Whenever a record series cannot be identified with a specific disposal instruction (Appendix 6A-6C), the office accumulating the records shall request establishment of maintenance and disposition instructions. These requests shall include a complete description of the new file in terms of the function or process that it documents; a reference to the law, regulation, or other directive requiring or governing its creation; recommended disposition instructions; and

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-5
---------------------------	-------------------------------------	-------------------------------------------	-------------------------

6A2

representative samples of individual documents contained in the file. The request is forwarded to the appropriate Records Management Liaison Officer (RMLO, as described in Chapt. 1) for review. If the RMLO agrees that additional maintenance and disposition instructions are needed he or she will forward the request and a recommendation to M/SER/MO/PA/RM. If the RMLO determines that the records in question can be identified in the disposition schedule, he or she will so indicate and return the request to the preparing office.

3. Exceptions to Disposition Instructions

All requests for exceptions to prescribed instructions for cutoff, retention, and final disposition shall be forwarded to M/SER/MO/PA/RM, through the appropriate RMLO, for review and appropriate action. Each request shall include the recommendations of the RMLO.

4. Changes in Disposition Instructions

Disposition instructions for specific files are changed periodically by M/SER/MO/PA/RM with the approval of NARA to reflect reevaluation of operational needs for the files and changes in statutory requirements, administrative procedures, and methods.

a. Increased Retention Periods. If a changed instruction increases the retention period, the instruction shall be applied to all records of that description regardless of where they are maintained or when they were created. Positive steps shall be taken to ensure that inactive and cutoff records are brought under the new (changed) disposition instruction. The appropriate Federal records center shall be notified of the new disposition instructions to be applied to retired records.

b. Reduced Retention Periods. If a changed instruction reduces the retention period, the instruction shall be applied retroactively unless it is impractical or uneconomical to do so. For example, if the new instruction can be applied to inactive records only by screening and marking the folders individually, it normally would be more economical to retain the records for the longer period than to attempt to post the changes.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

6A4b

5. Disposition Methods

a. Destruction

Many of the files kept in AID offices can be destroyed either because they are nonrecord material, or the retention periods authorized in the Disposition Schedule shown in Appendix 6A-6C have run out. The records supervisor or files custodian ensures that:

o classified and administratively-controlled records are destroyed in accordance with security regulations, Handbook 6, Security; and

o a brief record is made of the volume of files destroyed.

b. Retirement

(1) General

The Washington National Records Center (WNRC) stores many of AID's inactive files until destroyed or transferred to the National Archives. Because retired records may be recalled and re-used, effective controls must be maintained.

(2) AID/W

Retired records should be sent through the AID Records Depository (the AID staging area in Room B-531C, New State), to the Washington National Records Center, in Suitland, Maryland.

(3) Overseas

Records eligible for retirement should be sent to local storage if they can be disposed of within five years. Ship them to the AID/W Records Depository for retirement to the WNRC if they are of permanent value or need long-term retention.

6. Standards for Retaining Records

Keep only active files in office space. Active subject files normally cover the current fiscal year plus two prior fiscal years. Active case files normally cover current transactions or activities that have not been completed or terminated, and still have administrative value in the day-to-day operations of the office. For specific retention periods after closeout, see the Records Disposition Schedule, Appendix 6A-6C.

Posts in troubled areas where threat of emergency exists should keep files covering no more than one fiscal year, in addition to the current fiscal year, in office space. All other files should be sent to WNRC for retention or destruction.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-7
---------------------------	-------------------------------------	-------------------------------------------	-------------------------

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

6B. Responsibilities and Duties

Records supervisors, files custodians, or other designated employees must:

- o follow the Records Disposition Schedule in Appendix 6A-6C;
- o dispose of inactive or obsolete records in accordance with procedures contained in this chapter.

6C. Procedures for Surveying and Disposing of Files

Survey files at least annually near the end of each fiscal year, or if that's not possible, at some regularly scheduled time each year. Identify the files eligible for destruction or retirement using the retention criteria described in 6A6, above. Destroy all inactive working files, extra copies, non-record material maintained in official files, and official files with expired retention periods.

1. Retiring Files

Use standard one-piece cardboard records storage and shipping boxes, 10" x 12" x 15". Boxes will not be repacked at the AID Records Depository unless they are damaged in shipment from overseas.

a. Packing Boxes

(1) Combine boxes into lots. All files within a given lot must have the same disposition date and must not contain a mix of classified and non-classified files.

(2) Pack records in their original folders, in the same order as they were in the file drawers (subject to 1 above). Face all folder labels in the same direction. All letter-sized folders must face the front of the box (the end with the label) and legal-sized folders must face to the left (when you look at the box from the front).

(3) Pack boxes so that the folders can be taken out easily. Do not overpack them or strain the seams. Stuff newspaper into partially filled boxes to prevent the folders from shifting.

(4) Wrap oversized documents such as accounting ledgers, rolls of maps, or engineering drawings, with heavy kraft paper. Double-wrap and seal to provide protection during shipment from overseas.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-9
---------------------------	-------------------------------------	-------------------------------------------	-------------------------

NOTIFICATION OF RETIREMENT OF
INACTIVE FILES, AID FORM 5-45

Form 5-45

Figure 6-1

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

6C1

b. Marking Boxes

(1) Do not attach labels to boxes. The glue on labels dries out over time and labels fall off.

(2) Mark each box on the front end. If the boxes are being sent from AID/W, include on each box the box number and lot number. The lot number is obtained by calling the Vault Supervisor at the AID Record Depository, and is placed on the boxes as well as on Form 5-45 (Figure 6-1). No other information is needed on the box labels since the lot number serves as the link between the boxes and the identifying information on Form 5-45.

For boxes from overseas, include on each box only the security classification and box number. The other shipping information on the box(es) provides the AID Depository with sufficient identification. Do not attach labels to boxes.

2. Preparing a Shelf List

A listing of all folders to be retired is a shelf list. It serves as an inventory form and disposition guide for the AID/W Depository and WNRC when sent to them. Only lots with identical disposition dates may be included on any one shelf list.

a. A shelf list is prepared by filling out an SF 135-A in triplicate. SF 135-A is a continuation sheet, but should be treated as a first page. SF 135 constitutes the first page of the two-part form and is filled out by the AID/W Depository and sent to WNRC. Use Figure 6-2 which is a shelf list of loan commitment files as an example and fill out SF 135-A as follows:

- (1) Leave columns (a) through (d) blank.
 - (2) For column (e), Agency Box Numbers, give the simple numerical order of the boxes.
 - (3) Under Series Description (f) list the folders, using the titles and dates on the folder labels.
 - (4) Leave column (g) blank.
 - (5) Under Disposal Authority (h) cite HB 21 (Handbook 21) and the appropriate disposition item number from the Files Plan (under Schedule Series) or the Disposition Schedule (App. 6A-6C). Check the Disposition Schedule for a GRS citation, e.g. (GRS 16/2.b), under the column headed Authorized Disposition. If one is listed, enter that citation under the above-mentioned Item number. This citation is critical for the use of WNRC.
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AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-11
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Form 135-A Shelf List

Fig. 6-2

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-13
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

6C2a

(6) Under Disposal Date (i), compute from the Files Plan or the Schedule the destruction date and list it. If there is more than one retention date for the files, compute the destruction date using the latest retention date. WNRC will use this date as its guide for destruction of the files.

(7) Leave the remaining columns on the form blank.

b. If SF 135-A is unavailable, prepare a shelf list on plain paper in the following manner, using Figure 6-3 as an example.

(1) On the first few lines, give a brief description of the files being retired, their inclusive dates, and the highest security classification.

(2) List the boxes in sequence, beginning with box number one.

(3) List the titles and fiscal year or date span (earliest to latest date) of each folder label in the order that the folders are arranged in the box. If that information doesn't appear on a label, check inside the folder and add the information to the label. (Note: If all the folder labels in a file group are from the same date span, show the date span in the group heading and not for each item.)

(4) In the Disposal Authority column, cite HB 21 and the item number from the office Files Plan or the Records Disposition Schedule. Compute disposition date and list GRS citation as described in 2a(5) and (6) above.

3. Submitting Shelf Lists to the AID Records Depository

a. AID/W

(1) Complete AID Form 5-45, Notification of Retirement of Inactive Files, in triplicate, for each lot. See Figure 6-1. The lot number on the form is obtained by calling the Vault Supervisor at the AID Records Depository, and is placed on the box labels as well. The WNRC accession number block should be left blank as the Vault Supervisor will assign it a number when he receives the form.

(2) Send the original and one copy of the shelf list together with two copies of AID Form 5-45 to the AID Records Depository in Room B-531C, NS. Mail these separately from the boxes. One copy each of the shelf list and Form 5-45 will be returned to the office.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

SHELF LIST--ALTERNATE

FIGURE 6-3

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-15
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

6C3

b. Overseas

(1) Send the original and one copy of the shelf list(s), with a covering memorandum, by air pouch to the AID Records Depository, Room B-531C, New State. Do this immediately after shipping retired files to AID/W.

(2) Include shipping information such as registry number and date of shipment, in the memorandum. See 6C5b for special procedures needed for commercial freight shipments.

4. Keeping Shelf Lists in the Office

Keep suspense copies of all shelf lists until the AID Records Depository staff sends back a shelf list "package" consisting of the shelf list, Form 5-45, and a covering memorandum (see Figure 6-4). The memorandum and Form 5-45 will contain information necessary for retrieving files from storage in the future, so it is important to keep these together with the shelf list. It is a good idea to keep them in a loose-leaf binder. Do not retire or destroy the shelf list during the life of the office.

5. Transferring Boxes to the AID Records Depository

a. AID/W

(1) Close boxes by inter-folding the side and end flaps. Do not tape them.

(2) Address the top of each box to:

AID Records Depository
Room B-531C, New State

(3) Up to three boxes can be sent through the regular AID messenger service. Submit AID Form 5-7, Requisition, to M/SER/MO/PA/RM to arrange the transfer of more than three boxes to the Records Depository.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

SHELF LIST MEMORANDUM

AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C. 20523

MEMORANDUM

TO: Irma Filehandler, SER/OP/W

FROM: Henry White, AID Records Depository
Room B-531C, New State

THRU: Barbara J. Felton, Agency Records Officer,
(703) 875-1749

SUBJECT: Records Disposition

REF: AID Handbook #21, Part II

Your records and shelf list were received in good order. For future reference to these records please refer to the accession number, Washington National Records Center (WNRC) location number, the box number, and the lot number all of which are shown below.

These records are located in: Accession Number 286-87-077,
W.N.R.C. Location Number 08/24:48-7-5,

Box Number I-20,

Lot Number 87-17.

Should you have any questions concerning these procedures or other aspects of records retirement and disposition please telephone us at (202) 647-9121.

Attachments:

1. AID 5-45
2. Shelf List

FIGURE 6-4

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-17
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

6C5

b. Overseas

(1) General

Use the instructions below regarding addressing and shipping to meet security needs. The following instructions for packing will prevent damage in transit which will avoid the need for repacking at AID/W. Wrap each box in heavy kraft paper, seal center and edge seams, and tie securely. See Figure 6-5.

(2) Classified Files

(a) Address each box this way:

SECRET (or other appropriate security
classification)

AID/W Records Depository
c/o Department of State
Washington, DC 20523

(b) Ship by diplomatic pouch.

(3) Unclassified Files

(a) When shipping boxes by commercial freight, pack up to six boxes per crate. See Figure 6-6.

(b) Address each shipment as follows:

(i) Commercial shipment and APO:
Agency for International Development
AID Records Depository
320 21st Street, NW.
Washington, DC 20523

(ii) Pouch:
UNCLASSIFIED
Agency for International Development
AID/W Records Depository
c/o Department of State
Washington, DC 20523

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

CARDBOARD SHIPPING/STORAGE BOX

Figure 6-5

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-19
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

WOOD SHIPPING CRATE

Figure 6-6

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

6C5b(3)

(c) Mark containers "1 of 2," "2 of 2," and so forth, as appropriate.

(4) Commercial Freight Shipments (Unclassified Only)

(a) Show the appropriate U. S. Dispatch Agent (San Francisco, Baltimore, New York, or Miami) as the consignee on the ocean bill of lading.

(b) Prepare an original and one copy of a "Notice of Shipment" memorandum, immediately upon consignment of the shipment. Send the original by air pouch to the appropriate U. S. Dispatch Agent, along with the original bill of lading. Include the port of departure, vessel and voyage number, U.S. port, estimated time of arrival, bill of lading number, description of contents (including the number of crates and boxes), appropriation and allotment numbers, forwarding instructions, and also include funding citation for shipment from the port of entry to Washington, D.C.

(c) Air pouch a copy of the "Notice of Shipment" memorandum to the AID Records Depository.

6D. Processing Files in the AID Records Depository

The AID Records Depository serves as a staging area for files awaiting transfer to WNRC for storage. To retrieve files still in the AID Records Depository give the Vault Supervisor the lot and box numbers and the title of the folder wanted.

6E. Retrieving Retired Files from WNRC

AID/W and overseas offices can request retired files stored at WNRC by submitting requests to the AID Records Depository. Retired files may be retrieved at any time. The procedures are as follows:

1. AID/W

a. Prepare Optional Form II (OF-II), Reference Request-Federal Records Centers, (see Figure 6-7) to provide the following information:

- o Title and date of file (exactly as shown on the file folder label);
- o WNRC accession number
- o Agency box number; and
- o Records Center Location Number.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-21
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

Reference Request--Federal Records Center (OF-11)

Figure 6-7

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

6E1

This information can be obtained from the shelf list package returned by the Vault Supervisor to the office after retirement of the files to the AID Records Depository. Both Form 5-45 and the covering memo give the accession number and location number, and the shelf list gives the box number and folder information. If the office shelf list cannot be found, the information can be acquired by calling the Depository, although this practice is not encouraged.

- b. Forward the OF-11 to the Vault Supervisor who will forward it to WNRC.

2. Overseas

All retrieval requests from overseas offices are processed by the Vault Supervisor. Address requests to the AID Records Depository, Room B-531C, NS. Give:

- o accession number, location number, and box numbers taken from the covering retirement memo and shelf list; and
- o folder title and fiscal year, or date span, exactly as they appear on the shelf list.

Indicate whether the records are for temporary or permanent withdrawal, if known at the time of ordering.

3. Returning Files to WNRC

Files retrieved for temporary use must be kept separate from active files. Return them promptly after using them. Return them in the original folders or boxes through the AID Records Depository.

4. Withdrawing Files from WNRC Permanently

When retired files are permanently withdrawn from WNRC:

- a. Annotate the copy of the Shelf List held by the records supervisor or files custodian to show that the file has been permanently withdrawn.
- b. Notify the Vault Supervisor, who will annotate the master Shelf List.
- c. File the records that have been permanently withdrawn with the active files.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-23
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

6E4

d. Retire the records again, later, under a different accession number, if their retention periods have not expired.

6F. Retrieving Retired Official Personnel Folders (OPF's) and Other Personnel-Related Records Stored at the National Personnel Records Center (NPRC)

The National Personnel Records Center (Civilian Personnel Records (CPR)) is the central depository for Official Personnel Folders and the Individual Accounts of Payroll of persons no longer employed by the Federal Government.

Only Mission and AID/W Personnel officers are authorized to request OPF's from the NPRC. The requesting official shall furnish the following information:

- o Employee's full name (include the name under which employed, if different),
- o Date of birth,
- o Social Security Number (Substitute any identifying number such as employee number for Foreign National Employees),
- o Place of employment,
- o Date of separation, and
- o Dates the records were transferred to NPRC, if known.

All reference requests should be submitted to the National Personnel Records Center (CPR) on Standard Form 127, Requests for Official Personnel Folder, or Optional Form 11, Reference Request--Federal Records Center. The SF 127 should be used only when requesting Official Personnel Folders of former employees. See Figure 6-8. A separate form should be submitted in duplicate for each individual folder requested. A single SF 127 for multiple-list requests will not be accepted.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

REQUEST FOR OFFICIAL PERSONNEL FOLDER (SF 127)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-25
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

Figure 6-8

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

6G. Disposing of Records During Close-Out of, or Emergency Situations in, Overseas Offices

1. Normal and Immediate Close-Out

Detailed instructions on how to handle records as part of the close-out activities upon termination of an AID overseas office, are contained in Handbook 23, Overseas Support, Chapter 13, 13M.3.

2. Emergency Situations

a. General

(1) Overseas offices may destroy records without reference to other requirements in this handbook or HB 23 in the event of war, civil disturbance, natural disaster, or other circumstances that make an evacuation necessary.

(2) In such an event, the Director or other authorized official, in coordination with the head of the Diplomatic Mission, whenever possible, may authorize the destruction of all AID records under his or her jurisdiction. The Director must determine that keeping them would be harmful to the interests of the United States Government.

(3) Missions are to have in place a Vital Records Program in accordance with HB 21, Part II, Chapter 7, to ensure that duplicates of vital records are held in storage at designated safehaven sites to enable missions to continue essential operations under an emergency. However, in spite of this safety net to protect vital records, mission management staff should develop a plan to effectively destroy, safely remove, or abandon (unclassified records only) AID records in the event of an emergency. This plan must assign responsibilities and methods for:

- a. Identifying records to be removed, destroyed, or abandoned.
- b. Establishing priorities to remove or destroy various groups of records.
- c. Assuring that classified and unclassified records are kept separately so that classified material can be destroyed quickly when necessary.
- d. Designating those people who will have access to classified records and who will be able to destroy or remove them.
- e. Providing for readily accessible facilities, equipment, and supplies needed to put the emergency records plan into motion.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-27
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

6G2a(3)

f. Providing procedures for recording the actual disposition of each group of records.

3. Menaces to Health or Property

a. When records are in such a condition that they become a continuing menace to health or property, the post staff must notify the AID Records Management Officer (RMO), FA/AS/ISS/RM. A health or property menace may include damage by insects, water, or rodents. Include the following information in the notification:

- (1) Identification of the records involved;
- (2) A description of the nature of the menace; and
- (3) A recommendation for corrective action.

b. The RMO will request the National Archives and Records Service to authorize the emergency destruction of the records if nothing can be done to salvage them.

4. Reporting Requirement

As soon as possible after the emergency disposition has been done, prepare a memorandum report, "Emergency or Close-Out Disposition of Records" (Report Control Symbol U-520/2). This report is mandatory. Address it to the AID RMO and include:

a. A description of the Mission files that were evacuated, the volume, the method of evacuation, the safe-haven address, and the names of any staff members who were assigned the responsibility to remove the records; and

b. A description of the Mission official files that were destroyed, their volume, and the name of the official who authorized their destruction.

6H. Managing Local Storage Facilities

1. Need

Overseas offices should have local storage facilities to provide a convenient central point to keep records during the time between their use in current office files and their destruction or shipment to

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

6H1

AID/W. Often, unless the disposition in the Records Disposition Schedule specifically stipulates to send a file to AID/W, the disposition "Destroy 3 yrs. after closing," for example, means the file will be held in the local storage area until its destruction.

2. Objectives

Records are stored locally by overseas offices to:

- a. Free file space in offices for active new files.
- b. Gather all the inactive files under the supervision and control of Communications and Records (C&R) staff. These people oversee the disposition of inactive files in accordance with the AID Records Disposition Schedules. They also coordinate records packing, listing, and shipping services.
- c. Ensure periodic screening and disposal of stored files.
- d. Establish a central reference service for stored and retired files.

3. Physical Features

- a. Keep files in local storage in standard records storage and shipping boxes on open shelf files. Local storage should have enough shelves to store 30-40 percent of the Mission's total volume of official files.
- b. Consider floor loading, available light and ventilation, control of access to the storage area, and protection of records against fire, rodents, and climate.
- c. Arrange rows of shelving along the long axis of the room. Allow 30" (76.2 cm) aisles between rows and a 5' (1.53 m) main aisle next to the entrance. This wide aisle should allow access to all the narrower aisles.
- d. Wood shelving may be constructed locally. Adjustable open-type steel shelving may be purchased commercially. Allow 38" (96.5 cm) between upright supports. For shelving in the middle of the room, make them 30" (76.2 cm) deep. Units built against walls should be 15"

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-29
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

6H3

(38.1 cm) deep. Either type will have 3/4" (1.9 cm) shelves, spaced 11-1/2" (29.21 cm) apart. Adjust the height of the units to the height of the room. However, allow 15" (38.1 cm) of open space between the top of the shelving unit and the ceiling. This is for air circulation and fire protection.

e. A five-shelf wall unit built in the dimensions given above will store 15 cubic feet of records. A five-shelf open floor unit will store 30 cubic feet of records.

f. Number the shelf spaces consecutively as a locator device for records in storage.

g. In addition to shelving, provide adequate lighting, a large work table, and enough free floor space to stack boxes while awaiting crating.

4. Procedures

The following procedures may be modified to fit the needs of individual overseas offices. Files custodians must consult with C&R supervisors, or other employees responsible for records management, before transferring files to local storage.

a. Transfer only inactive official files to local storage.

b. Pack original folders in boxes in the same sequence as they were in file drawers, or in the manner described in 6Cla.

c. Prepare as many shelf lists as are needed by each office to be kept in the respective offices. If the boxes are eventually shipped to AID/W, the same shelf lists may be used.

d. Tape an identifying label securely to the end of each box to show the following information:

- o Shelf space number,
- o Originating office,
- o Box number (if desired),
- o Description of contents,

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

6H4d

- o Inclusive dates of contents,
- o Date stored,
- o Date to ship to AID/W, or
- o Date to destroy, and
- o Classification.

5. Control in Local Storage

- a. Number each box space in the storage area consecutively from 1 to the maximum capacity.
- b. Prepare a locator log to be used as a finding device and disposition schedule. See Figure 6-9. Number the lines on the locator log to correspond to the spaces in the storage area (consecutively from 1 to the maximum capacity of the storage area.)
- c. As boxes are moved into the storage area:
 - (1) Add the shelf space number to each box and to the shelf list.
 - (2) Enter each group of records transferred to local storage on the storage locator log.
- d. Review the log periodically to pick out records that are eligible for retirement to AID/W or destruction at the post.

6. Retrieval from Local Storage

Offices may recall stored files by supplying the C&R staff with the file space number, date of storage, and file folder title. Insert a charge-out record in its place when a folder is removed from a box. If an entire box is taken from shelf space, replace it with a charge-out record.

7. Annual Review (C&R Personnel)

Conduct an annual review of the records in local storage areas. Dispose of records as necessary but at least annually.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-31
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

6I. Supplies for Retiring Files

In AID/W, records storage/shipping boxes and AID Form 5-45, Notification of Retirement of Inactive Files (Fig. 6-1), may be obtained from the AID Records Depository. The form for the shelf list, SF-135, Records Transmittal and Receipt (Fig.6-2), and OF-11, Reference Request--Federal Records Centers (Fig. 6-7) may be secured from the GSA Customer Supply Center or other supply channels. Overseas, boxes and forms are secured from normal supply channels.

6J. Records Disposition

The AID Records Disposition Schedule is shown in Appendix 6A-6C.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

FORMAT FOR LOCAL STORAGE LOCATOR LOG

>	>	>	>	Disposition
Schedule	>	>	>	
> Space	>	>	>	> <u>(give date)</u>
>	>	>	>	
> <u>Number</u>	> <u>Office</u>	> <u>Contents</u>	>	> <u>Destroy</u> > <u>Ship</u>
> <u>A.I.D./W</u>	> <u>COMMENTS</u>	>	>	
>	>	>	>	>
>	>	>	>	>
> 1	> Controller	> FY XX Vouchers 1-96	> 10/1/XX	>
>	>	>	>	>
> <u> </u>	> <u> </u>	> <u> </u>	> <u> </u>	> <u> </u>
<u> </u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>
>	>	>	>	>
>	>	>	>	>
> 2	> Controller	> FY XX Vouchers 1-160	> 10/1/XX	>
>	>	>	>	>
> <u> </u>	> <u> </u>	> <u> </u>	> <u> </u>	> <u> </u>
<u> </u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>
>	>	>	>	>
>	>	>	>	>
> 3	> Screen for	>	>	>
10/1/XX	> C&R	> Gen. Subj. - FY XX	>	>
>	> disposal	>	>	>
> <u> </u>	> <u> </u>	> <u> </u>	> <u> </u>	> <u> </u>
<u> </u>	> <u>material</u>	>	>	>
>	>	>	>	>
>	>	>	>	>
> 4	> "	> " " "	>	>
"	>	>	>	>
> <u> </u>	> <u> </u>	> <u> </u>	> <u> </u>	> <u> </u>
<u> </u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>
>	>	>	>	>
>	>	>	>	>
> 5	>	>	>	>
>	>	>	>	>
> <u> </u>	> <u> </u>	> <u> </u>	> <u> </u>	> <u> </u>
<u> </u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>
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> 6	>	>	>	>
>	>	>	>	>
> <u> </u>	> <u> </u>	> <u> </u>	> <u> </u>	> <u> </u>
<u> </u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>
>	>	>	>	>

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-33

> 7	> PAD	> Proj. 085 Terminated	>	>
10/1/XX	>	>		
> _____	> _____	> <u>9/30/XX</u>	> _____	> _____
_____	> _____	>		
>	>	>	>	>
	>	>		
8	>	> CD	> Loan 32	>
10/1/XX	>Before shipping>			
>	>	>	>	>
	> See Ms. Brown	>		
> _____	> _____	> _____	> _____	> _____
_____	> _____	>		
>	>	>	>	>
	>	>		
> 9	>	>	>	>
	>	>		
> _____	> _____	> _____	> _____	> _____
_____	> _____	>		
>	>	>	>	>
	>	>		
> 10	>	>	>	>
	>	>		
> _____	> _____	> _____	> _____	> _____
_____	> _____	>		
>	>	>	>	>
> Note: When a shelf space is emptied, erase the former identification. Make a copy				>
> _____ for replacement information, if necessary.				>

Figure 6-9

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Appendix 6A

INTRODUCTION

RECORDS DISPOSITION SCHEDULE - A.I.D./W

A. Authority. This Schedule constitutes the sole legal authority for the retention and disposition of records in A.I.D. at all organizational levels. ** This schedule has been approved by the National Archives and Records Administration under Job # NC1 286-86-1.**

B. Application of the Records Disposition Schedule. Senior executives and their principal subordinate officers are responsible for the proper application of disposal authorizations to records in their custody. Any questions concerning a disposal authorization or its application should be referred to the Records Management Branch in A.I.D./W (M/SER/MO/PA/RM).

(1) Scope. The disposal authorizations contained in the Schedule apply to all records of the type described regardless of their physical location, e.g., central files; officially decentralized files; or working files at an individual's desk. The authorizations apply to both classified and unclassified records unless otherwise specified. Care should be exercised in applying the Schedule.

(2) Exceptions. Records pertaining to claims and demands by the Government of the United States or against it, or to any accounts in which the Government of the United States is concerned, either as debtor or creditor, shall not be destroyed under any disposal authorization until such claims, demands, or accounts have been settled and adjusted in the General Accounting Office, except upon written approval of the Comptroller General of the United States. Records having value in connection with any pending or prospective litigation must be retained until such litigation has been terminated. Bureaus or offices receiving requests for records or information therefore in connection with litigation shall inform the Office of the General Counsel immediately. Bureau and Office Heads are responsible for insuring against inadvertent destruction of any records of the type described above by having them segregated from other files that may be destroyed under normal disposal procedures.

C. Arrangement. All record series are arranged to the extent possible by function. An organizational grouping of the records has been used when an organizational title conforms to the description of the basic function performed by the organization. Chapters I - XIII of the Schedule pertain to records that document the basic programs or substantive functions of the Agency whereas Chapters XIV - XX pertain to administrative or facilitative records that support the housekeeping functions (personnel, procurements, etc.).

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-35
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

D. Description of Records. Each type of record covered in the Records Disposition Schedule is described as precisely as possible to permit easy identification with file groups or series, thereby eliminating the need for paper-by-paper screening.

E. Disposition Instructions. The disposition instructions for the majority of items listed in the Schedule provide for destruction after a specified period of time. The retention period given is to be applied regardless of whether the file is blocked by fiscal or calendar year. Retention periods as well as instructions for retirement, transfer and destruction are to be found under the column "AUTHORIZED DISPOSITION" in the Schedule.

F. Method of Destruction. All classified and administratively controlled records authorized for destruction shall be destroyed in accordance with the provisions of Handbook 6--Security. For the purpose of destruction, certain types of unclassified records such as personnel, or records containing detailed biographical data or any other records that might prove embarrassing or detrimental to operations if they were to fall into unauthorized hands shall also be treated as classified. The security regulations themselves do not constitute authority for the destruction of records, but only prescribe the method by which destruction shall be accomplished.

G. Records of Destruction. A record of the volume of material destroyed should be maintained by personnel responsible for the records.

H. Review of the Schedule. Each Bureau and Office is responsible for ensuring compliance with the provisions of the Records Disposition Schedule and ascertaining that all records of the organization are covered by appropriate disposal instructions. Each office will review its files at least annually to determine whether the applicable items on the Schedule are adequate and being followed.

a. Recommendations to add, delete, or change records disposition instructions will be made when annual reviews disclose:

- (1) Records series not covered by the Schedule.
 - (2) Items that should be deleted from the Schedule because the records involved are no longer being created or maintained.
 - (3) Retention periods which need to be changed. Changes should be recommended only when the need is clearly indicated and justified.
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Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

b. Proposed Records Schedule revisions will be submitted to the Records Management Branch (M/SER/MO/PA/RM) through the appropriate records liaison officer. Recommendations should contain the following information:

- (1) Organizational unit(s) accumulating the records.
- (2) A clear and meaningful description of the records, including the purpose for which the records were created, their relationship to the program activities of the unit creating them, and their relationship with other records, including duplication elsewhere in content or in substance.
- (3) A proposed period of retention no longer than necessary to satisfy normal administrative, historical, legal, and fiscal requirements, with full justification for the retention period. If the retention period proposed is longer than that for which the records are in active use, the recommendation should provide for their transfer to the Washington National Records Center.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-37
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

TABLE OF CONTENTS

RECORDS DISPOSITION SCHEDULE - AID/W

- I. Records Common to Most Offices
 - II. Records of the Administrator and Assistant Administrator
 - III. External and Public Affairs Records
 - IV. Food for Peace and Voluntary Assistance Records
 - V. Geographic Bureaus General Records
 - VI. Legislative and Legal Affairs Records
 - VII. Private Enterprise Records
 - VIII. Program and Policy Coordination Records
 - IX. Science Advisor Records
 - X. Science and Technology Records
 - XI. Foreign Disaster Assistance Records
 - XII. Advisory Committee on Voluntary Foreign Aid Records
 - XXI. Board for International Food and Agricultural Development Records
 - XIV. Administrative Management Records
 - XV. Fiscal Management Records
 - XVI. General Support Services Records
 - XVII. Personnel Records
 - XVIII. Procurement and Contracting Records
 - XIX. Security and Inspector General Records
 - XX. Travel and Transportation Records
 - *XXI Europe and New Independent State Records**
-

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

** END OF SECTION **

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-39
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

RECORDS DISPOSITION SCHEDULE--AID/W

I. RECORDS COMMON TO MOST OFFICES

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
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Office General Administrative Files

01010	<u>Office Administrative Files</u>	
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Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office, rather than the functions for which the office exists. In general, these records relate to the office staffing, organization, procedures, and communications; the expenditure of funds, including budget papers; day-to-day administration of office personnel, including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities, and workload reports (including work progress, statistical, and narrative reports which are prepared in the office and forwarded to higher levels) and other materials that do not serve as official documentation of the programs of the office.

Destroy when 2 years old or when no longer needed, whichever is sooner.
(GRS 23 Item 1)

NOTE: This item is not applicable to the record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the Agency.

Chronological Files

Files of extra copies of cables, letters, memoranda, etc., maintained for ease of reference in chronological order, by serial number, or by date of issuance.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

I. RECORDS COMMON TO MOST OFFICES

a. Cable or Telegram File

Files consisting of copies of incoming and outgoing telegraphic communications. Files are normally maintained by serial number by point of origin and are kept, for the most part, as a source of easy reference.

01020 1) AID/Washington Communications Center Master File

The master file of all telegraphic correspondence sent or received by the Agency. In addition to being a reference point for the Communications Center message analysts, this file also receives considerable use for investigations, background studies, and research.

Cut off at end of calendar year, retire to Washington National Records Center (WNRC) 3 months after cutoff. Destroy when 7 years old. (NC 1 286-82-2 Item 1A)

01030 2) Other Offices

Files maintained in the individual offices of the Agency's Washington headquarters as "easy reference" files. Destroy when 1 year old or sooner if no longer needed for reference. (NC 1 286-82-2 Item 1B)

Cut off at end of calendar year, retain in active office space

b. Correspondence Files

Files consisting of extra copies of letters, memoranda, and other montelegraphic communications media. Files are normally maintained by date of issuance and are kept, for the most part, as "easy reference" files.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-41
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

I. RECORDS COMMON TO MOST OFFICES

- | | | |
|-------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 01040 | 1) Files maintained by or for the immediate offices of the following Agency executives: the Administrator, Deputy Administrator, Assistant Administrators, and the Directors of Offices that report directly to the Administrator. | Cut off at end of fiscal year, retain in active office space. Destroy when 1 year old or sooner if no longer needed for reference. |
| 01050 | 2) Files maintained by other offices. | Cut off at end of fiscal year, retain in active office space. Destroy when 1 year old or sooner if no longer needed for reference. (NC 1 286-82-2 Item 2A) |
| 01060 | <u>Employee Travel Files</u>

Correspondence copies of travel, authorizations, vouchers, itineraries, and other papers pertaining to employee travel, exclusive of records maintained in the Office of Financial Management. | Cut off at end of fiscal year. Destroy when 1 year old. |
| 01070 | <u>Office Personnel Files</u>

Folders on employees consisting of correspondence, memoranda, forms, copies of position descriptions, requests for personnel action, and other records on individual employees duplicated in or not appropriate for the Official Personnel Folder. | Review annually and destroy superseded or obsolete documents; or destroy all documents relating to an individual employee 1 year after separation or transfer. (GRS 1 Item 18A) |

Transitory Files

Papers of short term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence are shown below:

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

I. RECORDS COMMON TO MOST OFFICES

01080 a. Request for Information or Publications

Routine requests for information or publications which require no administrative action, no policy decisions, and no special complications or research for reply, such as requests for publications or other printed material.

Destroy when 90 days old or sooner if purpose has been served. (GRS 23 Item 4)

01081 b. Letters of Transmittal

Letters of transmittal that do not add any information to that contained in the transmitted material.

Destroy when 90 days old or sooner if purpose has been served. (GRS 23 Item 4)

01082 c. Quasi-Official Notices

Memoranda and other papers that do not serve as the basis of official actions, such as notices of holidays, charity, and welfare fund appeals, bond campaigns, and similar papers.

Destroy when 90 days old or sooner if purpose has been served. (GRS 23 Item 4)

01090 Technical Reference Files

Copies of documents retained strictly for reference and informational purposes and which are not part of the official files. Includes extra copies of project material, copies of reports, studies, special compilations of data, drawings, periodicals, books, clippings, extra (nonrecord) copies of "policy and precedent" files, brochures, catalogs, vendor price lists, and publications prepared internally and externally.

Review at end of fiscal year and destroy material of no further reference value. (GRS 23 Item 6)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-43
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

I. RECORDS COMMON TO MOST OFFICES

General Subject Correspondence Files

Letters, memoranda, studies, reports, forms, and other data documenting and/or implementing plans, policies procedures, accomplishments, opinions, and decisions pertaining to A.I.D. program and staff activities, with related indexes and finding aids. Arranged by subject/name/country as appropriate.

01100 a. Program Correspondence Files Maintained at High Organizational Levels

Subject, name, or country files maintained by or for the immediate offices of the following Agency executives: the Administrator, Deputy Administrator, the Assistant Administrators, and the Directors of Offices that report directly to the Administrator or his Deputy and that are filed centrally or in decentralized locations.

Permanent. Cut off at end of fiscal year. Hold in office for 2 years, then retire to WNRC. Offer to NARA in 5 yr. blocks when most recent record is 10 yrs. old. (e.g., in 1987 offer 1973-77 records.)

01110 b. Program Correspondence Files of Country Desk Offices in the Geographic Bureaus

Files documenting the operations in USAIDs and relecting their problems and accomplishments.

Cut off at end of fiscal year. Hold in office for 2 years, then retire to WNRC. Destroy 10 years after cutoff.

01120 c. All other Program Correspondence Files in AID Headquarters Offices

Cut off at end of fiscal year. Hold in office for 2 years, then retire to WNRC. Destroy 10 years after cutoff.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

I. RECORDS COMMON TO MOST OFFICES

Budget Records

Annual Budget Submission Files

Annual budget submission by each overseas post and each AID/W organizational entity. Includes instructions, assumptions, and guidelines for preparation; the budget request itself; supporting papers; and related information, as follows:

- | | | | |
|-------|----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 01130 | a. | PPC/PB's printed record copy of annual budget submissions of overseas posts and AID/W Bureaus and Staff Offices. | Permanent. Cut off files annually. Hold in office for 5 years after cutoff, then retire to WNRC. Offer to NARA in 5 yr. blocks when most recent record is 10 yrs old. (e.g., in 1987 offer 1973-77 records.) |
| 01140 | b. | PPC/PB budget background files containing justifications, amounts requested and supporting papers. | Cutoff at end of budget year. Hold in office for 1 year, then retire to WNRC. Destroy 5 years after cutoff. |
| 01150 | c. | Files of all AID/W components, except PPC/PB, consisting of guidelines on annual budget preparation and preliminary budget estimates, supporting papers, cost estimates, rough drafts, and data accumulated in preparation of annual budget estimates, including duplicates of papers included in overseas posts' final budget estimate files. | Destroy 3 years after close of fiscal year covered by the budget. (GRS 5 Item 5B) |

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-45
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

I. RECORDS COMMON TO MOST OFFICES

Congressional Presentation

Records relating to the development and preparation of the Agency's request to Congress.

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| 01160 | a. | Office of Legislative Affairs record copy of the printed Congressional Presentation and one copy of each congressional notification. | Permanent. Cut off annually. Hold in office for 2 yrs. after cut off, then retire to WNRC. Offer to NARA in 5 yrs. blocks when most recent record is 10 yrs. old (e.g., in 1987 offer 1973-77 records.) |
| 01170 | b. | Files documenting the preparation of the detailed Agency budget request to Congress, including supplementary schedules, exhibits, etc. The files contain documents used in Congressional budget presentations, providing, by years, the U.S. assistance, subdivided by major programs. | Cut off annually. Hold in office one year then retire to WNRC. Destroy 5 yrs. after cut off. |
| 01180 | c. | All other copies of congressional presentations and notifications. | Destroy when no longer needed. |

Project Assistance Records

Records relating to the AID Development Assistance Program. Assistance is provided in the form of loans and grants for improving the quality of life of people in less developed countries through programs in agriculture, rural development, nutrition, family planning, health, education and human resources, energy, private industry development, science and technology, and is administered primarily by USAID's located in host countries.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

I. RECORDS COMMON TO MOST OFFICES

Development Assistance Project File

Case files on technical and capital assistance development projects, consisting of studies, surveys, project identification documents, project papers, copies of loan and grant agreements and amendments, project implementation orders, implementation letters, contracts, audits, report and evaluations, and other related records and correspondence. These files document the initial concept, the approved design, the progress and problems of implementation, the successes and/or failures of the individual project.

- 01190 a. Original silver master microfilm and silver duplicate.

Permanent. Review automated index to project data base annually and indicate closed projects. Transfer the microfiche with following images to NARA in 5 yr. blocks when most recent record is 2 yrs. old: All pre-PID documents, project paper or equivalent, core official correspondence and all reports.

- 01200 b. Computerized index to project.

Permanent. Transfer pertinent portion of index in ASCII or (EBCDIC) format to magnetic tape. Offer magnetic tape with all necessary documentation to NARA with corresponding project records.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-9
---------------------------	-------------------------------------	-------------------------------------------	-------------------------

I. RECORDS COMMON TO MOST OFFICES

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|--------|----|---------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------|
| 01210 | c. | All other silver master and silver duplicates. | Destroy 2 yrs. after cut off. |
| 01220. | d. | Bureau master diazo file. | Destroy 4 yrs. after termination of project when no longer needed, or whichever is sooner. |
| 01230 | e. | Project officer diazo working file. | Destroy upon termination of project. |
| 01240 | f. | Original paper copies of microfilm project records. | Transfer original paper records to WNRC upon verification of film. Destroy 2 yrs. after transfer. |
| 01250 | g. | Closed project files that are not microfiched. | |
| | | 1. PRE-PID documents, project paper or equivalent, core official documents and all reports. | PERMANENT. Review automated index to project data base and indicate closed projects. Transfer to National Archives when 5 years old. |
| | | 2. All other records. | Destroy at time of closeout. |
| 01260 | h. | Reference copies of project documents maintained in various Agency offices. | Destroy upon termination of the project. |

Project Plan and Engineering Files

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

01270 Copies of engineering plans and related material pertaining to individual projects.

Destroy in accordance with a. and b. above.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-11
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

I. RECORDS COMMON TO MOST OFFICES

01280 Technical Project Feasibility Studies

Copies of studies, reports, and related correspondence pertaining to proposed projects which do not develop into in office for 1 yr, projects. (If project is approved, materials are filed in project file.)

Cut off file at end of fiscal yr. Hold

then retire to WNRC.
Destroy when 5 yrs.

01300 Bureau Project Evaluation Files

Documents pertaining to plans, evaluations, and reports on Mission (USAIDs) and Bureau activities in project planning and evaluation. This material duplicates information in project files.

Cut off files when closed. Destroy when 3 yrs. old.

Non-Project Assistance Records

These records include grants and loans for program assistance in selected countries of special political interest to the United States. Recipients purchase goods and services from U.S. institutions and firms under existing Public Laws. Cash transfers and sector assistance are also provided as non-project assistance.

01310 Program (non-project) Procurement Files

Case files of grants and loan agreements on cash transfer or commodity import activities consisting of such records as agreements, implementation letters, action memos, program assistance papers, and related documents and correspondence pertaining to program assistance transactions.

Cut off after loan has been fully repaid (maximum of 40 yrs.). Destroy 1 year after cutoff.

Other General Files

Schedules of Daily Activities

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Calendars, appointment books, schedules,
logs, diaries, and other records
documenting meetings, appointments,
telephone calls, trips, visits, and
activities of Federal employees.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-13
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

I. RECORDS COMMON TO MOST OFFICES

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| 01320 | a. | Records containing substantive information relating to the official activities of high-level officials, the substance of which has been incorporated into memoranda, reports, correspondence, or other records included in official AID files. High-level officials include the Administrator, Deputy Administrator, the Assistant Administrators, and the Directors of Offices that report directly to the Administrator or his Deputy, and staff assistants to these aforementioned officials, such as special assistants, confidential assistants, and administrative assistants. | Cut off at end of calendar year. Retain in active office space. Destroy when 1 yr. old or sooner if no longer needed for reference. |
| 01330 | b. | Records of other than high-level Agency employees as defined in a. above containing substantive information relating to official activities, the substance of which has <u>not</u> been incorporated into official files. | Destroy when 2 years old. (GRS 23 Item 2A) |
| 01340 | c. | Routine materials containing <u>no</u> substantive information regarding the daily activities of other than high-level officials as defined in a. above; records of all Federal employees containing substantive information, the substance of which has been incorporated into official files; and personal records of all Federal employees relating to nonofficial activities. | Destroy when no longer needed or when 1 yr. old, whichever is sooner. (GRS 23 Item 2C) |

Research Studies Files

Social and Economic Studies files prepared by AID staff or by outside contractors (individuals or institutions), including periodic progress reports, correspondence, and final reports.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-15
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

I. RECORDS COMMON TO MOST OFFICES

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|-------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------|
| 01350 | a. | Final reports of studies not described elsewhere in this schedule. | Permanent. Cut off at end of fiscal year. Retire to WNRC: transfer to NARA in 5 yr. blocks when most recent report is 10 yrs. old. |
| 01360 | b. | Back-up material consisting of copies of progress reports, correspondence, etc. | Cut off after final report is submitted. Destroy 3 yrs. after cut off. |
| 01370 | c. | Reference copies of reports. | Destroy when no longer needed for reference. |
| 01380 | <u>Audit Reports Files</u>

Copies of Inspector General and General Accounting Office audit reports and relating correspondence maintained by individual offices where audits occurred. | | Destroy 1 yr. after all audit exceptions noted in reports have been resolved. |
| | <u>Publications File</u> | | |
| | a. | Record copies of publications maintained by the office responsible for the publication. These consist of books, pamphlets, booklets, formal reports and papers, studies, etc. Prepared by or for the Agency. | |
| 01390 | 1) | In-house publications | Permanent. Retire to WNRC when 3 yrs. old. Offer to NARA in 5 yrs. blocks when most recent record is 10 yrs old. (e.g., in 1987 offer 1973-77 records.) |

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

I. RECORDS COMMON TO MOST OFFICES

01400	2) Publications prepared under Grants and Contracts	Permanent. Retire to WNRC when 3 yrs. old. Offer to NARA in 5 yrs. blocks when most recent record is 10 yrs old. (e.g., in 1987 offer 1973-77 records.)
01410	b. Reference copies of publications	Review annually. Destroy material when no longer needed for reference.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-17
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

II. RECORDS OF THE ADMINISTRATOR AND ASSISTANT ADMINISTRATOR

These records are maintained by or for the immediate offices of the following Agency executives: the Administrator, Deputy Administrator, Executive Secretary, Assistant Administrator, and the Directors of Offices that report directly to the Administrator.

ITEM NO. DISPOSITION	DESCRIPTION OF RECORDS	A U T H O R I Z E D
02010	1. <u>General Subject Correspondence Files</u> Letters, memoranda, studies, reports, forms, and other data documenting and/or implementing plans, policies, procedures, accomplishments, opinions, and decisions pertaining to AID program and staff activities. Arrange by subject/name/country as appropriate.	Permanent. See Chapter I, Item 01100.
02020	2. <u>Chronological Files</u> Files consisting of extra copies of letters, memoranda, and other nontelegraphic communications media. Files are normally maintained by date of issuance and are kept, for the most part, as "easy reference" files.	See Chapter I, Item 01040.
02030	3. <u>Schedule of Daily Activities</u> Records containing substantive information relating to the official activities of high-level officials, the substance of which has been incorporated into memoranda, reports, correspondence, or other records included in official AID files. High-level officials include the Administrator, Deputy Administrator, the Assistant Administrators, and the Directors of Offices that report directly to the Administrator or his Deputy, and staff assistants to	See Chapter I, Item 01320

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-19
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

these aforementioned officials,
such as special assistants,
confidential assistants, and
administrative assistants.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

III. EXTERNAL AND PUBLIC AFFAIRS RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED
DISPOSITION		

Public Inquiries Files

03010 Manatory Classification Review (MCR) Files

action is	Reports and correspondence regarding	Cut off when
Hold in	inquiries from the public for information	completed.
yrs.,	in the files which was classified. This	office for 2
WNRC.	review is made under POIA and the current	then retire to
after	Executive Order on National Security	Destroy 30 yrs.
	Information. completion of the action.	

Freedom of Information Act (FOIA) Requests Files

Files created in response to requests for information under the Freedom of Information Act, consisting of the original request, a copy of the reply thereto, and all related supporting files, which may include the official file copy of a requested record or a copy thereof.

- a. Correspondence and supporting documents
(EXCLUDING the records requested, if
filed therein)

03020 after	1) Granting access to all the requested records.	Destroy 2 yrs. date of reply. (GRS 14 Item
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16 A1)

- 2) Responding to requests for
nonexistent records, to requestors

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-21
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

who provide inadequate descriptions,
and those who fail to pay Agency
reproduction fees.

03030

a. Request not appealed.

Destroy 2
yrs. after
date of
reply.
(GRS 14 Item

16 A2)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

III. EXTERNAL AND PUBLIC AFFAIRS RECORDS

03040	b. Request appealed.	Destroy as authorized under Item 03080 below. (GRS 14 Item 16 A2)
	3) Denying access to all or part of the records requested.	
03050	a) Request <u>not</u> appealed.	Destroy 6 yrs. after date of reply. (GRS 14 Item 16 A3)
03060	b) Request appealed.	Destroy as authorized under Item 03080 below. (GRS 14 Item 16 A3)
03070	b. Official file copy of requested records.	Dispose of in accordance with approved disposition instructions for the related records, or the related F O I A request, whichever is later. (GRS 14 Item 16B)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-23
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

FOIA Appeals Files

Files created in responding to administrative appeals under the FOIA for release of information denied by the Agency, consisting of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or a copy thereof.

03080	a.	Correspondence and supporting documents	Destroy 6 yrs.
after			
		(<u>EXCLUDING</u> the file copy of the records	f i n a l
determination		under appeal if filed therein)	by Agency or 3 yrs. after final adjudication by courts, whichever is later. (GRS 14 Item 17A)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

III. EXTERNAL AND PUBLIC AFFAIRS RECORDS

03090 b. Official file copy of records under appeal.

Dispose of
i n
accordance
w i t h
approved
disposition
instructions
for the
r e l a t e d
record, or
the related
F O I A
request,
whichever
is later.
(GRS 14
Item 17B)

FOIA Control Files

Files maintained for control purposes in
responding to requests, including registers
and similar records listing date, nature,
and purpose of request and name and address
of requestor.

03100 a. Registers or listing.

Destroy 6
yrs. after
date of last
entry. (GRS
14 Item
18A)

03110 b. Other files. Destroy 6 yrs. after final action by the Agency or after final adjudication
by courts, whichever is later. (GRS 14 Item 18B)

FOIA Reports Files

Recurring reports and one-time
information requirements relating
to Agency implementation of the FOIA,
including annual reports to the
Congress.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-25
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

03120 a. Annual reports originating in OPA.

Permanent.
Cut off
annually.
Hold in
office 2
years, then
retire to
W N R C .
Offer to
N A R A
when 15
yrs. old.
(GRS 14
Item 19a)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

III. EXTERNAL AND PUBLIC AFFAIRS RECORDS

03130 b. Other reports Destroy when 2 yrs. old or sooner if no longer needed for administrative use. (GRS 14 Item 19b)

03140 FOIA Administrative Files

Records relating to the general Agency
2 yrs.
if no
for
use.
20)

implementation of the FOIA, including
notices, memoranda, routine correspondence,
and related records.

Destroy when
old or sooner
longer needed
administrative
(GRS 14 Item

News and Media Relations Files

Audio Visual Files

a. Original video tapes.

03150 1) Important subjects that reflect Permanent.
Offer the the mission; for example, relating original or
earliest to its overall program in a country generation of
one or region; relating to controversial recording and
(reference topics or having historical interest dubbing
in such as birth control, counter- copy) to NARA
blocks when insurgency training, police training, five-year

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-27

is	etc.; relating to the history of	the oldest tape
	U.S. foreign relations with a specific country or region; having anthropological or ethnographic value by documenting the impact of the Agency program on foreign societies.	10 yrs. old.
03160	2) Routine subjects that do not reflect	Destroy when
no	the Agency's mission, such as management training films, or those	longer needed.
20)	used for training in narrow areas of technology such as "how to" build a bridge, irrigate a field, build a shed or house, maintain cattle, pasteurize milk, etc.	(GRS 21 Item

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-29
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

video recording.

03200
Offer

5 year

the

c) Agency acquired films:

two projection prints or one

projection print and a video

recording.

Permanent.

to NARA in

blocks when

oldest film
is 10 yrs.
old.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

III. EXTERNAL AND PUBLIC AFFAIRS RECORDS

03210 Offer 5 year the	d) Unedited footage: the original negative or color original, work print, and an intermediate master positive or duplicate negative if one exists, appropriately arranged, labeled, and described.	Permanent. to NARA in blocks when oldest film is 10 yrs. old.
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03230 annually.	2) Routine subjects that do not reflect the Agency's mission.	C u t o f f D e s t r o y when ten years old or when no l o n g e r n e e d e d , whichever is sooner. (N1-286-90-1)
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c. Still Photography

- 1) Important subjects reflecting the Agency's mission; for example, relating to its overall program in a country or region; relating to controversial topics or having historical interest such as birth control, counterinsurgency training, police training, etc.; relating to the history of U.S. foreign relations with a specific country or region having anthropological or ethnographic value by documenting the impact of the Agency program on foreign societies.

03240 Cut off	a) Black & white negatives and captioned prints.	Permanent. annually.
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AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-31
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

O f f e r
original to
NARA in 5
year blocks
when the
most recent
record is 20
yrs. old.

03250

b) Black & white contact prints

Permanent.
Cut off
annually.
Offer to
NARA with
r e l a t e d
negatives in
5 yr. blocks
when most
r e c e n t
records are
20 yrs. old.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

III. EXTERNAL AND PUBLIC AFFAIRS RECORDS

03260 Cut off	c) Official portraits of senior Agency officials.	Permanent. annually. Offer to N A R A negatives a n d captioned prints in 5 yr. blocks when the most recent records are 20 yrs. old.
03270 annually.	2) Routine subjects that do not reflect the Agency's mission.	C u t o f f D e s t r o y when one year old or when no l o n g e r n e e d e d . (GRS 21 Item 1)
	d. Color Slides (35 mm)	
03280 Cut off duplicate 5 yr. most are	1) Important subjects reflecting the Agency's mission; for example, relating to its overall program in a country or region; relating to controversial topics or having historical interest such as birth control, counterinsurgency training, police training, etc.; relating to the history of U.S. foreign relations with a specific country	Permanent. annually. Offer original and to NARA in blocks when recent records 20 yrs. old.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-33
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

or region having anthropological
or ethnographic value by
documenting the impact of the
Agency program on foreign societies.

03290
annually.

- 2) Routine subjects which do not
reflect the Agency's mission.

C u t o f f

D e s t r o y
when one
yr. old or
when no
l o n g e r
n e e d e d ,
whichever
is sooner.

e. Film Strips

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

III. EXTERNAL AND PUBLIC AFFAIRS RECORDS

03300 Cut off duplicate 5 yr. most are	1)	Important subjects reflecting the Agency's mission; for example, relating to its overall program in a country or region; relating to controversial topics or having historical interest such as birth control, counterinsurgency training, police training, etc.; relating to the history of U.S. foreign relations with a specific country or region having anthropological or ethno- graphic value by documenting the impact of the Agency program on foreign societies.	Permanent. annually. Offer original and to NARA in blocks when recent records 20 yrs. old.
03310 annually.	2)	Routine subjects which do not reflect the Agency's mission.	C u t o f f D e s t r o y when one year old or when no l o n g e r n e e d e d whichever is sooner.
03320 NARA or	f.	Finding aids including indexes, catalogs, shelf lists, caption sheets.	Transfer to dispose of with related records. (GRS 21/63)
03330 official Agency or		<u>Biographical File on Senior AID Officials</u> Background information on top AID officials or other key personnel for	Destroy when leaves the

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-35
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

public dissemination.

when no longer needed, whichever is sooner.

03340 Public Relations Files

- | | | |
|----------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Cut off</p> <p>in</p> <p>yrs.,</p> <p>WNRC.</p> <p>NARA in</p> <p>when</p> <p>(GRS 14</p> | <p>a. Speeches, addresses, and comments.</p> <p>Remarks made at formal ceremonies and</p> <p>during interviews by heads of agencies</p> <p>or their senior assistants concerning</p> <p>the programs of their agencies. The</p> <p>speeches and addresses may be presented</p> <p>to executives from other Federal</p> <p>agencies, representatives of State or local governments, or private groups, such as college and university students, business associations, and cultural news media commentators.</p> | <p>Permanent.</p> <p>annually. Hold</p> <p>office for 5</p> <p>then retire to</p> <p>Transfer to</p> <p>5 yr. blocks</p> <p>20 yrs. old.</p> <p>item 1a)</p> |
|----------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

III. EXTERNAL AND PUBLIC AFFAIRS RECORDS

03350	b.	News releases. One copy of each	Permanent.
Cut off		prepared statement or announcement	annually. Hold
in		issued for distribution to the news	office for 5
yrs.,		media. News releases announce events	then retire to
WNRC.		such as the adoption of new Agency	Offer to NARA
when		program, termination of old programs,	20 yrs. old.
(GRS 14		major shifts in policy, and changes	Item 1b)
		in senior Agency personnel.	

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-37
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

IV. FOOD FOR PEACE AND VOLUNTARY ASSISTANCE (FVA) RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED
DISPOSITION		

Common Type Files

04010 FVA Grant Files

grant is	Files pertaining to grants made under the	Cut off when
Hold in	several FVA programs. Including are	terminated.
yrs.,	copies of proposals; grant applications,	office for 2
WNRC.	agreements, and amendments; project,	then retire to
after	financial, progress, and evaluation	Destroy 6 yrs.
grant.	reports; PIO's; and related documentation	termination of
	and correspondence.	

04020 Unsuccessful Grant Applications

grant is	Copies of applications of unsuccessful	Cut off when
in	grant applicants and related documents	awarded. Hold
	and correspondence.	office for 2
		yrs., then
		destroy.

Private and Voluntary Cooperation Files

04030 Ocean Freight Files

file is	These files pertain to the reimbursement	Cut off when
in	by AID for shipping expense incurred	closed. Hold
yrs.,	by voluntary agencies under "subvention"	office for 2
WNRC.	arrangements. Included are copies of	then retire to

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-39
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

after procurement authorizations, Schedule D-Overseas Transportation, AID 1550 or equivalent, approval letters, etc., and related correspondence. Destroy 5 yrs. file is closed.

Registered Agency Files

These files document the private voluntary agencies' applications for registration containing all supporting papers pertaining to the applicant agencies' legal, financial, and operational status.

04040 a. Case Files on Individual Agencies Cut off when Agency is removed from registry, then retire to WNRC. Destroy 5 yrs. after removal.

04050 b. Annual Financial Submission Cut off annually. Destroy when 3 yrs. old.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-41
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

04090 b. Copies of Agreements

D e s t r o y
w h e n
agreement is
terminated.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

IV. FOOD FOR PEACE AND VOLUNTARY ASSISTANCE (FVA) RECORDS

Section 416 Agreement Files

Files consisting of the original agreements between U.S. (AID) and voluntary organizations, multilateral organizations, or foreign governments, entered into under the provisions of Section 416 of the Agricultural Act of 1949. Arranged alphabetically by country.

04100	a. <u>Original Agreements</u>	Permanent. Retire upon termination of agreements. Offer to NARA in 5 yr. blocks, 5 yrs. after the most recent termination date.
04110	b. <u>Copies of Agreements</u>	D e s t r o y w h e n agreement is terminated.

Title II Program Files

Files arranged by country documenting all Title II program and project activity with individual host countries. Included are copies of program plans and projections, program operating and financial documents, annual estimates and requirements, project documentation, and related documents and correspondence.

04120 Cut off in	a. Annual estimates of requirements (AERs) signed by AID and the private Agency	Permanent. annually. Hold
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AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-43
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

and operational plans.

office for 2
years, then
retire to
W N R C .
Transfer to
NARA in
five-year
blocks when
most recent
records are
10 years
o l d .
Example:
1987 offer
1 9 7 3 - 7 7
records.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

IV. FOOD FOR PEACE AND VOLUNTARY ASSISTANCE (FVA) RECORDS

04130	b. All other program documentation annually. for including quarterly estimates, call forward agreements, cables for transfer shipping instructions.	C u t o f f Hold in office 2 years, then to WNRC. D e s t r o y w h e n 6 years old.
04140	<u>Voluntary Agency Ocean Transport Files</u> Files including copies of Letters of Commitment, Procurement Authorizations, Expenditure Reports, etc., and related correspondence. to WNRC. Destroy when 6 years old.	C u t o f f Hold in office 2 years, then
04150	<u>Agricultural Commodity Files</u> Reference copies of such documents as commodity specifications, technical studies, and general material on obsolete, agricultural commodities used in the needed. Food for Peace program.	R e v i e w Destroy when superseded, or no longer

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-45
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

V. GEOGRAPHIC BUREAUS GENERAL RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED
	DISPOSITION	
05010	<u>Program Correspondence Files</u>	
of	Subject and Country Files of Country	Cut off at end
Hold in	Desk Offices. These files document in a	fiscal year.
years,	unique way the operations in U.S.AIDs	office for 2
WNRC.	and reflect their problems and accomplish-	then retire to
10 years	ments. Arranged by subject and country	Destroy when
	as appropriate. old.	
05020	<u>General Financial Files</u>	
at end	Working files pertaining to financial	Cut off files
Hold	management functions of the several	of fiscal year.
3 years,	geographic areas covering materials	in office for
	relating to annual budget submissions,	then destroy.
	budget expenses, funding limits, background	
	justification and expenses, monthly	
	operating expenses, etc. Files containing	
	such forms as: copies of Request for	
	Budget Allowance, annual Budget	
	Submissions, Request for Operational	
	Year Budget Change, Project Implementation,	
	and Advice of Budget Allowances. Files are	
	used to control expenditures of funds.	
05030	<u>Congressional Notification and</u>	
	<u>Congressional Presentation File</u>	
end of	Working files containing information needed	Close file at
	for presentation of the Bureaus' annual	fiscal year.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Hold in	program and budget to Congress and any	office for 1
year,	changes to the program that require	then retire to
WNRC.	congressional notification. They contain	Destroy when
6 years	information on operational year budget changes, congressional notifications, program revision requests, guidelines for preparation of congressional notification, advice of program change, and monthly project accounting information system reports.	old.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-47
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

V. GEOGRAPHIC BUREAUS GENERAL RECORDS

Country Development Strategy Statement (CDSS) File

Formal statements on each country's foreign aid assistance program submitted by U.S.AIDs annually. These statements are printed and bound and distributed to appropriate office throughout the Agency.

05040 Cut off in	a. Record copies maintained in Geographic Bureaus arranged by country and thereunder chronologically.	Permanent. annually. Hold office for 3 years, then retire to W N R C . Transfer to NARA in 5 yr. blocks when most recent record is 10 yrs. old.
05050	b. Copies used for reference.	Destroy when no longer needed for reference.

Briefing Files

05060 Cut files Hold in yrs., WNRC. NARA in	Files consisting of reports prepared by AID staff members for AID officials anticipating visits to countries where AID has a mission. These reports contain pertinent	Permanent. off annually. office for 3 then retire to Transfer to
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AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-49
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

VI. LEGISLATIVE AND LEGAL AFFAIRS RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED
DISPOSITION		

Congressional Correspondence Files

Correspondence between the Agency and members of Congress and signed by the Administrator, his Deputy, or the Director of Legislative Affairs. Arranged alphabetically by the name of the Congressional member.

06010 end of Hold	a. Papers containing policy and precedent and requiring research which documents relations with Congress.	Cut off at the each Congress. in office for 3 yrs., then retire to W N R C . D e s t r o y when 10 yrs. old.
06020 annually.	b. All other routine correspondence.	C u t o f f D e s t r o y when 2 years old.
06030	<u>Correspondence Brief</u> Briefs or drafts of letters to members no longer of Congress prepared by the Office of reference. Legislative Affairs.	Destroy when needed for
06040	<u>Committee Prints and Hearing Records</u> Copies of printed committee reports and no longer	Destroy when

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-51
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

VI. LEGISLATIVE AND LEGAL AFFAIRS RECORDS

Legal Opinions and Decisions Files

Files of legal opinions on law and Executive Orders as a result of requests from AID offices on any matter requiring interpretation of Federal or other law. Files include requests for advice, formal legal opinion and decisions, and related correspondence.

- | | | | |
|-------|----|----------------------------------------|-------------------------------------------------------------------------------------|
| 06060 | a. | Original paper copies microfilmed. | Destroy original paper records after verification of film. |
| 06070 | b. | Original silver master & duplicate. | Permanent. Transfer to NARA in 5 yr. blocks when most recent record is 20 yrs. old. |
| 06080 | c. | Original paper copies not microfilmed. | Permanent. Offer to NARA in 5 year blocks when most recent record is 30 years old. |

Financial Disclosure Reports

- a. Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978 (P.L. 95-521).
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Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

06090 after to be consideration appointments,	1) Records including SF 278A for individuals filing according to Section 201b of the Act and not subsequently confirmed by the Senate.	Destroy 1 yr. nominee ceases u n d e r f o r E X C E P T t h a t documents needed in an o n g o i n g investigatio n w i l l r e t a i n e d until the investigatio n i s completed.
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AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-53
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

VI. LEGISLATIVE AND LEGAL AFFAIRS RECORDS

06100	2)	All other records including SF 278.	Destroy when 6 yrs. old, EXCEPT that documents needed in an ongoing investigation will be retained until the investigation is completed.
06110	b.	All other statements of employment and interests and related records, including confidential statements filed under Executive Order 11222.	Destroy when 6 yrs. old EXCEPT documents needed in an ongoing investigation will be retained until the investigation is completed.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

VII. PRIVATE ENTERPRISE (PRE) RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED
DISPOSITION		

PRE Project Files

Files consisting of documentation pertaining to the management of grants, contracts, loans, and cooperative agreements between AID and the U.S. private sector. Files include, but are not limited to, copies of proposals, applications, project authorizations, loan and grant agreements, contracts, interim project progress reports, PIO's etc., and related correspondence.

07010 Cut off at project. WNRC.	a. Published or unpublished reports (exclusive of interim project progress reports), project concept papers, and any other final project product.	Permanent. close of Retire to Transfer to NARA in 5 yr. blocks when most recent records are 10 yrs. old, (e.g., in 1987 offer 1973-77 records.)
07020	b. All other project records.	Cut off when project is completed or loan is paid, as applicable. Hold in office for 2

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-55
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

years, then
retire to
W N R C .
Destroy 6
yrs. after
completion
of project.

07030 Status Reports on Loans

Reports on private sector initiative
annually.
loans showing disbursements, payments
1 year
progress, etc., on status of outstanding
loans.

C u t o f f

Destroy when

old.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

VII. PRIVATE ENTERPRISE (PRE) RECORDS

07040 Unsuccessful Investment Opportunity Proposals

Proposals from businesses which do not
withdrawn
result in a loan. or denied. Hold in office for 2 years, then destroy. Cut off when

07050 Company Correspondence Files

General correspondence between AID
annually.
and enterprises in the private sector
for
on all aspects of the AID program
destroy.
for encouraging the participation of
the U.S. private sector in financial
transactions which can accelerate the
development process overseas. C u t o f f
Hold in office
2 years, the

Housing and Urban Development Project Files

Case files on housing construction under
the AID Housing Guaranty Program (HG).
Files include, but are not limited to,
guarantee and loan agreements,
implementation agreements, cost schedules,
progress reports, inspection and
evaluation reports, and related documents
and correspondence.

07060 a. Basic contractual documents and
loan is
related materials. Cut off when

paid. Hold
in office for
3 yrs., then
destroy.

07070 b. Inspection reports on housing
construction.

Cut off when
construction
i s
completed.
Hold in
office for 3

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-57
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

yrs., then
destroy.

07080 c. General Correspondence.

D e s t r o y
when 2 yrs.
old.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

VII. PRIVATE ENTERPRISE (PRE) RECORDS

07090	<u>Studies and Reports on Shelter Activities and Housing Guaranty Programs</u>	
	Studies and reports on various aspects	Permanent.
Cut off	on the AID worldwide shelter sector	annually. Then
retire	activities, including the Housing Guaranty	to WNRC.
Transfer to	Program. Arranged by subject.	NARA in 5 yr. blocks when most r e c e n t record is 10 yrs. old.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-59
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

VIII. PROGRAM AND POLICY COORDINATION RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED
DISPOSITION		
	<u>Donor Coordination Files</u>	
08010	<u>International Organizations Files</u>	
	a. Correspondence, reports, agendas,	Permanent.
Cut off	and minutes of meetings of consultative	annually. Hold
in	groups and subsidiary and affiliated	office for 3
years	organizations regarding development	after cutoff,
then	assistance and AID liaison with	retire to
WNRC. Offer	such organizations.	to NARA in 5 yr. blocks, when most r e c e n t record is 10 yrs. old. (e.g., in 1987 offer 1973-77 records.)
08020	b. Working papers for conference sessions	Destroy 1 year
after	such as delegate lists, admission	d a t e o f
conference.	cards and badges, correspondence on arrangements, and duty schedules.	
08030	c. Files regarding programs of the UN and	Permanent.
Cut off	its affiliated organizations, which	annually. Hold
in	show a relation to cooperating countries and AID liaison.	office for 3 yrs. after cutoff, then retire

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

to WNRC.
Offer to
NARA in
5 yr. blocks,
when most
r e c e n t
record is 10
yrs. old.
(e.g., in
1987 offer
1973-77
records.)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-61

VIII. PROGRAM AND POLICY COORDINATION RECORDS

08040	d.	Reports of international conferences attended providing the Administrator in with a brief report of the conference years or meeting. after cutoff, then retire to WNRC. Offer to NARA in 5 yr. blocks, when most recent record is 10 yrs. old. (e.g., in 1987 offer 1973-77 records.)	Permanent. Cut off annually. Hold office for 3
08050 Cut off in years then WNRC. in 5 yr.	e.	Development Assistance Coordination (DAC) donor files, consisting of correspondence and other documents relating to specific donors, bilateral relations between AID and others, and information on various donor programs. blocks, when most recent record is 10 yrs. old. (e.g., in 1987 offer 1973-77 records.)	Permanent. annually. Hold office for 3 after cutoff, retire to Offer to NARA
08060		<u>National Advisory Council on International Monetary and Financial Policies Files</u> Files accumulated by AID documenting annually. the activities of the Council, chaired by for the Treasury Department, and its periodic cutoff, meetings. then retire to WNRC. Destroy when 10 yrs. old.	C u t o f f Hold in office 3 yrs. after

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

VIII. PROGRAM AND POLICY COORDINATION RECORDS

08070 Multilateral Development Banks Files

Cut off	Files documenting AID's relations	Permanent.
in	with multilateral development banks,	annually. Hold
then	such as the World Bank, International Development Bank, etc., consisting of	office for 3 yrs. after cutoff,
WNRC. Offer	minutes of meetings, bank policy statements, and related correspondence.	retire to
		to NARA in 5 yr. blocks, when most recent record is 20 yrs. old. (e.g., in 1987 offer 1963-67 records.)

Program Evaluation Files

Correspondence, reports, special studies, and other records pertaining to Agency evaluative research, socioeconomic impact assessments, and program evaluation development issues and AID programs.

08080 Cut off	a. Final products on this series:	Permanent.
in	o Impact Evaluation Reports,	annually. Hold
years	o Discussion Papers,	office for 3
then	o Special Studies,	after cutoff,
WNRC. Offer		retire to
5 year		to NARA in
		blocks when

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-63
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

most

is

- o Program Evaluation Reports, and

offer

- o Program Design and Evaluation

records.)

Methods Files.

- 08090 b. Background files and related
annually.

correspondence.

recent record

20 years old.
(e.g., in 1987

1 9 6 3 - 6 7

C u t o f f

Hold in
office for
3 years, then
retire to
W N R C .
D e s t r o y
w h e n
6 years old.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

VIII. PROGRAM AND POLICY COORDINATION RECORDS

08100 Project Evaluation Summaries (PES) Files

Cut off	Files pertaining to in-depth studies and	Permanent.
in	analyses of the social and economic	annually. Hold
years	impact of alternative types of strategies,	office for 3
then	programs and projects on the lives of	after cut off,
WNRC. Offer	foreign assistance beneficiaries.	retire to
5 year	Included are copies of studies and	to NARA in
most	analyses and related correspondence.	blocks when
is	These files are not duplicated in the	recent record
	Impact Evaluation records (Item 08080 above).	20 years
		old.
		(e.g., in
		1987, offer
		1963-67
		records.)

Budget Files

Agency Budget Files

See Budget Records of Chapter I. (01130-01150)
Records Common to Most Offices

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-65
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

IX. SCIENCE ADVISOR RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED
DISPOSITION		

Grant Application Files

Applications, memoranda, correspondence, and other records relating to the decision to accept or reject grant proposals.

09010	a. Unsuccessful (rejected or withdrawn) applications.	Destroy 3 yrs. after rejection or withdrawal.
-------	-------------------------------------------------------	-----------------------------------------------

09020	b. Accepted applications.	Dispose of with related grant case file (see Items 09030-09040 below).
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Grant Case Files

Proposals or applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status, and monitoring of grants; allocation of funds; and project budgets.

09030 Cut off	a. Project reports and studies produced under the grant.	Permanent. files when closed. Hold in office for 2 yrs., then retire to W N R C. Transfer to
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Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

NARA in 5
yr. blocks
when most
r e c e n t
record is 20
yrs. old.

09040 b. All other documentation related
when to the grant.

Cut off files

c a s e i s
c l o s e d .
Hold in
office for 2
yrs., then
retire to
W N R C .
D e s t r o y
when 6 yrs.
old.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-67
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

X. SCIENCE AND TECHNOLOGY (S&T) RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED
DISPOSITION		

S&T Project Files

These files consist of documentation pertaining to the management of grants, contracts, and cooperative agreements of centrally funded projects. Files include, but are not limited to, copies of proposals, applications, agreements, contracts, interim progress reports, PIO/T's, project papers, published and unpublished reports, and other documents and correspondence pertinent to the project.

10010 Cut off at	a. Project papers and published or unpublished reports (exclusive of interim project progress reports), books, studies, or any other final product. recent record is 10 yrs. old. (e.g., in 1987, offer 1973-77 records.)	Permanent. close of Offer to NARA blocks when
in 5 yr. most		
10020	b. All other project records.	Cut off when project is terminated. Hold in office for 2 yrs., then retire to WNRC. Destroy 6 yrs. after termination of project.
10030	c. Closed project records stored in WNRC.	Permanent.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Offer all
project
records to
N A R A .
Those not
accessioned
, destroy
immediatel
y.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-69
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

X. SCIENCE AND TECHNOLOGY (S&T) RECORDS

Unsolicited Project Proposals

10040	a. Successful proposals	File in applicable project files and apply authorized disposition as indicated in Item 10020 above.
10050	b. Unsuccessful proposals	Cut off when project is awarded. Hold in office for 2 yrs., then destroy.
10060	<u>Memoranda of Understanding (MOU) Files</u>	
	Copies of signed MOU's with universities	Cut off when
MOU is	regarding the scope of work to be performed by institutions under AID	cancelled or superseded.
Hold in	strengthening grants and contracts.	office for 2
yrs.,	Included in related correspondence.	then retire to WNRC. Destroy 6 yrs. after termination of related project.
10070	<u>Sector Council Files</u>	
	Files pertaining to the activities of	Permanent.
Cut off		

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

in	several AID councils or committees	annually. Hold
yrs.,	composed of appropriate AID staff	office for 3
WNRC.	members to advise the Agency in the	then retire to
NARA when	various areas (sectors) of AID	Transfer to
record is	development assistance to host countries.	most recent
	Included are meeting agendas, minutes of meetings, copies of papers prepared by the councils, and related records and correspondence. Arranged chronologically within sector councils.	10 yrs. old.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-71
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

X. SCIENCE AND TECHNOLOGY (S&T) RECORDS

10080 International Organizations Files

Cut off	These files consist of correspondence,	Permanent.
in	reports, and records of meetings and	annually. Hold
yrs.,	conferences pertaining to AID interest	office for 3
WNRC.	in the organization, planning, and	then retire to
in 5 yr.	operations of international organizations	Offer to NARA
most	(such as the Consultative Group on	blocks when
is	International Agricultural Research	recent record
offer	(CGIAR) in AID areas of concern.	10 yrs. old.
	Arranged by organization and thereunder	(e.g., in 1987
	chronologically. 1973-77 records.)	

Research Advisory Committee (RAC) Files

Documentation accumulated by the Office of Research and University Relations (RUR) in its capacity as the Secretariat for the RAC.

10090	a. Meetings records consisting of	Permanent.
Hold in	agendas, minutes of meetings, and	office for 3
yrs.,	related documentation on RAC meetings.	then retire to
WNRC.	Arranged chronologically.	Transfer to
		NARA in 5
		yr. blocks
		when most
		r e c e n t
		record is 10
		yrs. old.
		(e.g., in
		1987 offer

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

1973-77
records.)

- | | | | |
|-------|----|------------------------------------------------------------------------------------------------|---------------------------------------------------------|
| 10100 | b. | Members files, consisting of general material on the individual RAC members. | Destroy when superseded, obsolete, or no longer needed. |
| 10110 | c. | Administrative files documenting the routine housekeeping functions supporting RAC activities. | Cut off file

Hold in office

yrs. then |
- annually.

for 2

destroy

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-73
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

X. SCIENCE AND TECHNOLOGY (S&T) RECORDS

Joint Career Corps (JCC) Files

Files consist of correspondence and other records pertaining to the recruitment of members into the JCC and AID negotiations with universities on matters relating to the Corps activities.

- | | | | |
|-------|----|-------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------|
| 10120 | a. | Agreements with universities. | C u t o f f
w h e n
agreements
a r e
terminated.
H o l d i n
office for 3
yrs., then
destroy. |
| 10130 | b. | JCC member biographical data file. | C u t o f f
w h e n
member is
separated
from Corps.
H o l d i n
office for 1
yr. after
separation,
t h e n
destroy. |
| 10140 | c. | Correspondence and other general records. | C u t o f f
annually.
H o l d i n
office for
3 yrs., then
destroy. |

Resource Support Services Agreement Files

These files pertain to the agreement between AID and the National Science Foundation for the latter Agency to

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

review AID research projects for scientific soundness before actual commitment. Included are correspondence, reports, and other documentation relating to the National Science Foundation's involvement in AID project research activity.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-75
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

X. SCIENCE AND TECHNOLOGY (S&T) RECORDS

- | | | | |
|-------|----|--------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 10150 | a. | Reports | Permanent.
Cut off
annually.
Hold in
office for 3
yrs., then
retire to
W N R C .
Offer to
NARA in
5 yr. blocks
when most
r e c e n t
document is
10 yrs. old.
(e.g., in
1987, offer
1 9 7 3 - 7 7
records.) |
| 10160 | b. | All other documentation. | Cut off
annually.
Hold in
o f f i c e
3 yrs., then
retire to
W N R C .
D e s t r o y
when 10
yrs. old. |

International Training Program Files

These files consist of documentation
pertaining to the development, management
and implementation of the IT Program.

- | | | | |
|---------|----|--------------------------------------|----------------|
| 10170 | a. | Substantive policy, planning, | Permanent. |
| Cut off | | program and evaluation material | annually. Hold |
| in | | documenting criteria for participant | office 3 yrs. |
| then | | | |
-

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

WNRC. Offer	selection and processing; preparation	retire to
5 yr.	and use of PIO/P's; training policies	to NARA in
most	within the US and host countries	blocks when
is	administration of technical service	recent record
	contracts; selection of training	10 yrs. old.
	sites and predeparture briefing,	(N C
1-286-76-3)/(TRG;	post facility and orientation and	TRG 2, 2-2,
7, 9, 9-1,	relationship with training	9-2, 11, 12,
12-1)	organization.	
10180 b.	Routine administrative and	C u t o f f
annually.	evaluative correspondence	Hold in office
2 yrs.	regarding any phase of participant	then retire to
WNRC.	training program.	D e s t r o y
		when 5 yrs.
		old. (NC
		1-286-76-3
)/
		(TRG; TRG
		8-1, 9, 11-2,
		12b)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-77
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

X. SCIENCE AND TECHNOLOGY (S&T) RECORDS

10190 c. Record copy of training aids Permanent.
Cut off developed by the Agency.

annually.
Hold in
office 3 yrs.
Retire to
W N R C ,
offer to
NARA in 5
yr. blocks
when most
r e c e n t
record is 10
yrs. old.
(e.g., in
1987, offer
1 9 7 3 - 7 7
records.)
(N C
1-286-76-3)

10200 d. Reports, directories and studies Permanent.
Cut off to evaluate effectiveness of
in training methods and techniques
yrs., in specific fields of activity,
WNRC. country, or overall participant
in training program.

annually. Hold
office for 3
then retire to
Offer to NARA
5 yr. blocks
when latest
record is
10 yrs. old.
(N C
1-286-76-3
/(TRG 6)

10210 e. Records pertaining to third Permanent.
Cut off country training which includes
in

annually. Hold

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

then agreements, correspondence, and office 3 yrs.
reports. retire to WNRC. Offer to NARA in 5 yr. blocks when most recent
record is 10 yrs. old. (e.g., in 1987, offer 1973-77 records.) (NC
1-286-76-3)/
(TRG 2-2)

10220 All other copies. Destroy when obsolete.
13) (TRG 12-2,

Participant trainee case files,
containing PIO/P's biodata, call forward,
notice of arrival, course records,
reports, commendations/certificates,
filed by PIO/P number:

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-79

X. SCIENCE AND TECHNOLOGY (S&T) RECORDS

- | | | | |
|-------|----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|
| 10230 | a. | Selected one file for each training field; e.g., agriculture, education, health, etc. office 2 yrs. then retire to WNRC. Destroy 20 yrs. after cutoff. (NC 1-286-76-3)/(TRG (a)) | Cut off after closeout. Hold |
| 10240 | b. | Files for all V.I.P.'s and potential professional leaders. | Cut off when closed. Hold in office 2 yrs. then retire to WNRC. Destroy 20 yrs. after cutoff. |
| 10250 | c. | Files for all outstanding participants whose achievements are an asset to their country and a testimony to the success of AID programs. | Cut off after closeout. Hold office 2 yrs. retire to WNRC. Destroy 20 yrs. after closeout. |
| 10260 | d. | All other records. | Cut off after closeout. Hold in office 2 yrs. then retire to WNRC. Destroy 5 yrs. after cut off. (NC 1-286-76-3)/(TRG e) |
| 10270 | | Printouts containing summary data for each trainee or training project. | Permanent. annually. |

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Hold in
office for 3
yrs., then
retire to
W N R C .
Offer to
NARA in 5
year blocks
when latest
record is
10 yrs. old.
(e.g., in
1987, offer
1973-77
records.)
(N C
1-286-76-3
)/(TRG)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-81
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

X. SCIENCE AND TECHNOLOGY (S&T) RECORDS

10280 Card files and other summary data transfer for each trainee or training project computer (except computer tapes and printouts and reports described elsewhere in 1-286-76-3)/(TRG) this schedule.)	Destroy upon of data to tapes. (N C
10290 Copies of participating agency Cut off service agreements and conformed in copies of contracts with colleges yrs., and universities or professional WNRC. societies that serve to document 5 yrs. arrangement for participant training.	Permanent. annually. Hold office for 2 then retire to Destroy when old. (NC 1-286-76-3)/ (TRG)
10300 Participant English Testing and Cut off Training Report, Report Control in Symbol U-1380/7, or equivalent, then summarizing all English language WNRC. Offer testing and training activities 5 yr blocks carried on for participants by or record is under the direction of the Mission.	Permanent. annually. Hold office for 3 yrs. retire to to NARA in when latest 10 yrs. old. (e.g., in 1987 offer 1973-77 records.) NC 1-286-7 6-3)/

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

<p>10310 "Returned Participants Follow-up Cut off in yrs., WNRC. in 5 yr.</p>	<p>Activities," annual report No. U-418, or equivalent, containing a summary of all significant followup activities carried out during the reporting period on returned participants.</p>	<p>(TRG 11-1) Permanent. annually. Hold office for 3 then retire to Offer to NARA blocks when latest record is 10 yrs. old. (N C 1-286-76-3)/ (TRG 8)</p>
<p>10320 Monthly Returned Participant annually. office for</p>	<p>Follow-up Data, Report Control Symbol U-1380/6, or equivalent.</p>	<p>C u t o f f Maintain in 1 yr. then destroy. (N C 1-286-76-3)/ (TRG 8)</p>

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-83
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

X. SCIENCE AND TECHNOLOGY (S&T) RECORDS

Participant Training Directories,
newsletters and other issuances
prepared for use of participants,
SER/IT, and other AID staff:

10330	a. Record copy.	Permanent. Cut off annually. Hold in office 2 yrs. then retire to WNRC. Offer to NARA in 5 yr. blocks when latest record is 10 yrs. old. (e.g., in 1987 offer 1973-77) (N C
	1-286-76-3)/	(TRG 10a)
10331	b. Distributed copies.	Destroy when obsolete. (N C
	1-286-76-3)/	(TRG 10b)
10340	Report on contracts, made by annually. team leaders or managers of office participant groups concerning retire to industries or agencies visited.	Cut off Maintain in 2 yrs. then WNRC. Destroy when 5 yrs. old. (N C

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

1-286-76-3)/

(TRG 7)

10350 Case files for individual facilities,
 annually. Cut
 arranged alphabetically by name of
 files.

R e v i e w

off closed case

facility, field of activity, or

Hold in office

2 yrs.

location. then retire to WNRC. Destroy when 20 yrs. old. (NC 1-286-76-3)/
 (TRG 7)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-85
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

X. SCIENCE AND TECHNOLOGY (S&T) RECORDS

Travel and Interpreter Services:

10360 Cut off	a.	Files regarding participant and dependent travel purchases, ownership and operation of automobiles, interpreter services, insurance, waiver of visa requirements, and handling of illness and death cases.	Permanent. annually. Hold office for 3 then retire to Offer to NARA blocks when record is 10 yrs. old. (N C (TRG 9-3)
in yrs., WNRC. in 5 yr. latest 1-286-76-3)/			
10370 Cut off	b.	Interpreter services, policy and procedures files.	Permanent. annually. Hold in office for 3 yrs. then retire to W N R C . Offer to NARA in 5 yr. blocks when latest record is 10 yrs. old. (NC 1-286- 76-3)/ (TRG 9-3)
10380 annually. Cut	c.	Case files containing copies of contracts and bio-data of individual interpreters.	R e v i e w off closed files. H o l d i n

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

office 2 yrs.
then retire
to WNRC.
Destroy 5
yrs. after
completion
o f
assignment
or upon
termination
o f
participant
training
program.
(NC 1-286-
7 6 - 3) /
(TRG 9-3)

10390 d. Case files containing letters
files.
after of assignment, vouchers, and
assign- payroll information for individual
interpreters.
1-286-76-3)/

Cut off closed
Destroy 1 yr.
completion of
ment.
(N C
(TRG 9-3)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-87
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

X. SCIENCE AND TECHNOLOGY (S&T) RECORDS

Training Conference Materials:

10400 annually. 2 yrs. 1-286-76-3)/	a. Papers regarding conferences attended by participants in connection with training programs, indicating number in attendance, dates, places, and itineraries.	C u t o f f Destroy when old. (NC (TRG 3)
10410 annually. 2 yrs.	b. Material describing training courses available to participants, including prospectuses.	C u t o f f Hold in office then retire to WNRC. D e s t r o y when 5 yrs. old. (NC 1-286-76-3)/ (TRG 4)
10420 annually. 2 yrs. WNRC. 20 yrs.	Correspondence and related material regarding methods of assure continuing contact with participants after training to develop maximum potential of individual participants.	C u t o f f Hold in office then retire to Destroy when old. (NC 1-286-76-3)/ (TRG 8)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

XI. FOREIGN DISASTER ASSISTANCE RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED
	DISPOSITION	
11010	<u>Administrative Files</u>	
	the	Cut off file at
	creation.	end of the fiscal
	office	y e a r o f
	after	Hold in active
	retire to	space for 1 yr.
	Destroy when	cutoff, then
	1-286-82-1)	W N R C .
	related information, procurement and contracting instructions and travel guidance. The files contain incoming and outgoing correspondence (letters, memos, cables, etc.), notices, forms, reports, etc. Document classification and file maintenance is in accord with AID Handbook 21, Part II. The file media is paper.	3 yrs. old. (N C
	This office is not considered to be the office of record for any of the subject matter contained in this series. The files are of short term usage with the greatest use being within three months of filing. Some periodic reference, usually once or twice annually, is made to the previous years files - rarely is reference made beyond the second year.	

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-89
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

XI. FOREIGN DISASTER ASSISTANCE RECORDS

11020 Program Files

This series consists of technical
 subjects. Files contain documents
 relating to disaster assistance in
 cooperating countries that coordinate
 with international organizations,
 U.S. voluntary agencies, and U.S.
 private sector; correspondence consists
 of incoming and outgoing cables,
 reports, letters, memos, notices, etc.

Permanent.
 the end of the
 year of
 Hold in active
 space for 2 yrs.
 cutoff. Retire
 WNRC. Offer
 when 10 yrs.
 5 yr. blocks.
 (N C

1-286-82-1)

11030 Policy Files

This series consist of letters, memos,
 directives, etc., on OFDA's policies
 on natural disasters. Includes con-
 gressional guidelines, GC rulings, etc.

Permanent.
 the end of fiscal
 of creation,
 office copy
 and send
 originals to
 W N R C .
 Offer to
 N A R A
 w h e n
 10 yrs. old
 in 5 yr.
 blocks.
 (N C

1-286-82-1)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Foreign Disaster Assistance Project Files

<p>11040 a. Documentation relating to disaster</p> <p>Cut off at assistance in cooperating countries.</p> <p>disaster.</p> <p>WNRC.</p> <p>NARA in assistance, newspaper clippings, news</p> <p>when most bulletins, project implementation</p> <p>is orders (PIO/C's PIO/T's), contracts</p> <p>1-286-82-1) situation and other reports, and</p> <p>correspondence (letters, memos, cables)</p> <p>on disasters that coordinate with</p> <p>international organizations, U.S.</p> <p>voluntary agencies and the U.S.</p> <p>private sector.</p>	<p>Permanent.</p> <p>close of</p> <p>Hold 2 yrs. then</p> <p>retire to</p> <p>Transfer to</p> <p>5 yr. blocks</p> <p>recent record</p> <p>10 yrs. old.</p> <p>(N C</p>
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Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

XII. ADVISORY COMMITTEE ON VOLUNTARY FOREIGN AID RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED
DISPOSITION		
12010	<u>Committee Meeting Files</u>	
Cut off	General correspondence, copies of	Permanent.
in	meeting agendas, minutes, and other	annually. Hold
yrs.,	documentation pertaining to the	office for 3
WNRC.	proceedings of the individual	then retire to
in 5 yr.	meeting. Arranged chronologically.	Offer to NARA
	(1 cu. ft. per year)	blocks when most recent record is 10 yrs. old. (e.g., in 1987 offer 1973-77)
12020	<u>Files on Individual Committee Members</u>	
when	Copies of resumes, travel records, and	Cut off files
	other pertinent administrative records.	membership i s terminated. Hold in office for 1 yr., then destroy.
12030	<u>Contract Files on Meetings</u>	
	Administrative copies of contracts on the individual meetings (4 per year).	Cut off files annually. Hold in office for 1 yr., then

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-93
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

destroy.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

XIII. BOARD FOR INTERNATIONAL FOOD AND AGRICULTURAL DEVELOPMENT (BIFAD) RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED
DISPOSITION		

Meeting Files

Files consisting of such records as notices to the Federal Register, agendas and minutes of meetings, dicussion papers, transcripts of proceedings, and related correspondence.

13010 Cut off	a. Board for International Food and Agricultural Development (composed of 7 Board members from the private sector) meetings files.	Permanent. annually. Hold office for 3 then retire to WNRC. Offer to NARA in 5 yr. blocks when latest record is 10 yrs. old. (e.g., in 1987, offer 1973 - 77 records.)
in		
yrs.,		
13020 Cut off	b. Joint Committee on Agricultural Research and Development (JCARD) meeting files. JCARD is composed of 20 members and is a subcommittee of the Board.	Permanent. annually. Hold office for 3 then retire to Offer to NARA in 5 yr. blocks
in		
yrs.,		
WNRC.		

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-95
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

when latest
record is
10 yrs. old.
(e.g., in
1987, offer
1973-77
records.)

13030	c.	Bi-annual charters for the board,	Permanent.
Cut off		correspondence relating to the	f i l e s
bi-annually.		charters and amendments to the	Hold in office
for		charter. 3 yrs. Offer to NARA in accumulations of one cubic foot.	

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

XIII. BOARD FOR INTERNATIONAL FOOD AND AGRICULTURAL DEVELOPMENT (BIFAD)
RECORDS

13040	<u>Agricultural Projects Case Files</u>	
BIFAD	Documents accumulated in the initial	Cut off when
its	development of agricultural projects	has completed
	under grants with universities.	work on initial
negotiations.	The official project files on these	p r o j e c t
after	projects are maintained by the	Destroy 3 yrs.
	Geographic Bureaus.	cut off.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-97
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

XIV. ADMINISTRATIVE MANAGEMENT RECORDS

This section lists records of the organization, functional management, and emergency planning of the Agency; administration coordination and relations with other Federal agencies and with cooperative service type organizations of host governments. It also includes paperwork and other management systems and programs records.

ITEM NO. DISPOSITION	DESCRIPTION OF RECORDS	AUTHORIZED
	Formal Directives, distributed as orders, circulars, or in loose-leaf manual form announcing major changes in the Agency's policies and procedures.	
14010 Cut off	a. Issuances related to Agency program functions. files annually. Hold in office for 3 yrs. then retire to WNRC. Offer to NARA in 5 yrs. blocks when 20 yrs. old (e.g., offer 1970-74 block in 1995). (GRS 16/1.a)	Permanent.
14020 Item	b. Case files related to (a) above which document important aspects of the development of the issuance.	Cut off files annually. See 1 4 0 1 0 a b o v e . (GRS 16/1. b)
14030	c. Issuances related to routine administrative functions (e.g., payroll, procurement, personnel).	Destroy when superseded or obsolete. (GRS 16/1. c)
14040	d. Case files related to a. and c. above, which document routine aspects of development of the issuance.	Destroy when issuance is destroyed. (GRS 16/1. d)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

XIV. ADMINISTRATIVE MANAGEMENT RECORDS

Publications

Pamphlets, reports, leaflets, file manuals,
or other published or processed documents,
or the last manuscript report if not
published, relating to management projects.

- | | | |
|----------------------------------|------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------|
| 14050
See

01390-01410. | a. Record copy with the supporting papers

which document the inception, scope and
purpose of the project. | Permanent.

Chapter 1
I t e m s |
| 14060 | b. Working papers and background materials. | D e s t r o y
when 1 yr.
old. (GRS
16/2.6) |

Records Disposition Files

Descriptive inventories, disposal author-
izations, schedules, and reports.

- | | | |
|----------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|
| 14070
related

destroyed,

longer

whichever is | a. Basic documentation of records

description and disposition programs,

including SF 115, Request for Records

Disposition Authority; SF 135, Records

Transmittal and Receipt, and related
documentation. | Destroy when

records are

or when no

n e e d e d ,

sooner. |
| 14080
no longer

reference. | b. Extra copies and routine correspondence

and memoranda. | Destroy when

needed for |
| 14090 | c. Working papers and background material. | S e e i t e m
14180 of
t h i s
schedule. |
-

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-99
---------------------------	-------------------------------------	-------------------------------------------	--------------------------

(GRS 16/11
)

Forms Files

14100 a. One record copy of each form created
related by an agency with related instructions
discontinued, and documentation showing inception,
scopy, and purpose of the form.

Cut off when
f o r m i s
superseded or
cancelled.
D e s t r o y
5 yrs. after
related form
i s
discontinue
d ,
superseded,
o r
cancelled.
(GRS 16/4.
a)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-101
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

16/6.a)

14140 b. Records held by other offices.

D e s t r o y
when 1 yr.
old. (GRS
16/6.b)

14150 Project Control Files

Memoranda, reports, and other records
after
documenting assignments, progress, and
which the
completion of projects.

Destroy 1 year
the year in
project is
c l o s e d .
(GRS 16/7)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

XIV. ADMINISTRATIVE MANAGEMENT RECORDS

14160 Reports Control Files

Case files maintained for each Agency report is
report created or proposed, including
Destroy
public use reports. Included are
discon- clearance forms, including SF 83;
copies of pertinent forms or
16/8) descriptions of format; copies of
authorizing directives; preparation
instructions; and documents relating
to the evaluation, continuation,
revision, and discontinuance of
reporting requirements.

Cut off when
discontinued.
2 yrs. after the
reports are
tinued. (GRS

14170 Working Papers

Project background records, such as
annually.
studies, analyses, notes, drafts,
months after
and interim reports.

C u t o f f
Destroy 6
final action
on project
report or
3 yrs. after
completion
of report if
no final
action is
t a k e n .
(G R S
16/10)

14180 Records Management Files

Correspondence, reports, authorizations,
annually.
and other records that relate to the
1 yr.
management of Agency records, including

C u t o f f
Hold in office
then retire to

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-103
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

WNRC.		
6 yrs.	such matters as forms, correspondence,	Destroy when
disposal	reports, mail and files management; the	old. Earlier
if	use of microforms, ADP systems and word	is authorized
super-	processing; records management surveys;	records are
obsolete, or	vital records program; and all other	s e d e d ,
needed for	aspects of records management not covered	no longer
(GRS 16/11)	elsewhere in this schedule.	reference.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

XIV. ADMINISTRATIVE MANAGEMENT RECORDS

14190 Organizational Files

a. Organizational charts and reorganizational studies. Graphic illustrations which provide a detailed description of the arrangement and administrative structure of the functional units of an agency. Reorganization studies of an agency. Reorganization studies are conducted to design an efficient organizational framework must suited to carrying out the agency's programs and include materials such as final recommendations, proposals, and staff evaluations. These files also contain administrative maps that show regional boundaries and headquarters of decentralized agencies or that show the geographic extent or limits of an agency's programs and projects.

Cut off
Hold
3 yrs.
WNRC.
in 5 yr.
20 yrs.
in
16/13.a)

Permanent.
files annually.
in office for
then retire to
Offer to NARA
blocks when
old. (e.g., offer
1970-74 block
1995). (GRS

b. Functional statements. Formally prepared descriptions of the responsibilities assigned to the senior executive officers of the agency at the division level and above. If the functional statements are printed in the Code of Federal Regulations (CFR), they are not

Cut off
Hold
3 yrs.
WNRC.
in 5 yr.
20 yrs.

Permanent.
files annually.
in office for
then retire to
Offer to NARA
blocks when
old. (e.g., offer
1970-74 block

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-105
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

in 1995) designated for preservation as a (GRS 16/13.b)
separation series.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

XIV. ADMINISTRATIVE MANAGEMENT RECORDS

14210 Cut off Hold 3 yrs. WNRC. in 5 yr. 20 yrs. in 16/13.c)	c. Agency histories and selected background materials. Narrative agency histories including oral history projects prepared by agency historians or public affairs officers or by private historians under contract to the Agency. Some background materials (such as interviews with past and present personnel) generated during the research stage may also be selected for permanent retention. Excluded are electrostatic copies of agency documents made for convenient reference.	Permanent. files annually. in office for then retire to Offer to NARA blocks when old. (e.g., offer 1970-74 block 1995). (GRS
14220 when complete. the old.	<u>Feasibility Studies</u> Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micro-graphics, and communications. Studies and system analyses for the initial establishment and major changes of these systems. Such studies typically include a consideration of the alternatives to the proposed system and a cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system.	Cut off files study is Destroy when study is 5 yrs. (GRS 16/14)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-107

14230 Emergency Planning Administrative
Correspondence Files

Correspondence files relating to administration and operation of the	Cut off files annually.
Destroy emergency planning program, not covered	when 2 yrs.
old. by Items 14010-14040 or elsewhere in this schedule.	(GRS 18/27)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

XIV. ADMINISTRATIVE MANAGEMENT RECORDS

Emergency Planning Case Files

Case files accumulated by offices responsible for the preparation and issuance of plans and directives, consisting of a copy of each plan or directive issued, with related background papers.

14240	a.	One record copy of each plan or directive issued, if not included in the Agency's permanent set of master directives files.	Permanent. w h e n obsolete. Offer N A R A when 15 yrs. old in 10 yr . blocks (e.g., o f f e r 1970-79 block in 1995) . (GRS 18/28 .a)
Cut off superseded or to			
14250	b.	Case file copy of plan or directive if Agency record copy is maintained in a master directives file and all related background materials.	Destroy 3 yrs. issuance of a or directive. (GRS 19/28.b)
after new plan			
14260		<u>Emergency Directives Reference Files</u>	
obsolete		Copies of directives and plans issued by the Agency (other than those maintained in case files described in Items 14240-14250 above), as well as those issued by FEMA, other Federal agencies, State or local	Destroy when or superseded. (GRS 19/29)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-109

governments, and the private sector.

14270 Emergency Planning Reports

Cut off	Agency reports or operators tests,	Permanent.
plan or	consisting of consolidated or	when related
becomes	comprehensive reports reflecting	directive
	Agency-wide results of tests conducted under emergency plans.	obsolete or is superseded.

Offer to
N A R A
when 15
yrs. old in
10 yr .
blocks (e.g.,
offer
1970-79
block in
1995) .
(GRS 18/30
)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

XIV. ADMINISTRATIVE MANAGEMENT RECORDS

14280 Emergency Operations Tests Files

Destroy	Files accumulating from tests conducted under Agency emergency plans, such as instructions to members participating in test, staffing assignments, messages tests of communications and facilities, and reports (excluding consolidated and comprehensive reports under Item 14270 above).	Cut off files annually. when 3 yrs. old (GRS 18.31)
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AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-111
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XV. FISCAL MANAGEMENT RECORDS

This Chapter groups together material regarding the collection, disbursement, and accounting for Agency funds; the operation of accounting and fiscal reporting systems; accounting procedures for special programs; payroll operations and allied functions of a fiscal nature.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED
	<u>Accountable Officer Account Files</u>	
	<u>Accountable Officers' Files</u>	
15010 after by in then WNRC. and period account.	a. Original or ribbon copy of accountable officers' accounts maintained in the Agency for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of freight records and payroll records described elsewhere in this section. These records document only the basic financial transaction, money received and money paid out or deposited in the course of operation of the Agency. All copies <u>except</u> the certified payment or collection copy, usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by succeeding items in this section.	Cut off files period covered account. Hold office 3 yrs. retire to Destroy 6 yrs. 3 months after covered by (GRS 6/1.a)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Site audit records include, but are not limited to, the Standard Forms and Optional Forms listed below. Also included are equivalent Agency forms which document the basic financial transactions as described above.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-113
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XV. FISCAL MANAGEMENT RECORDS

SF 224, Statement of Transactions
 SF 1034, Public Voucher for Purchase and Services
 Other Than Personal
 SF 1036, Statement of Certificate and Award
 SF 1047, Public Voucher for Refunds
 SF 1069, Voucher for Allowance at Foreign Post
 of Duty
 SF 1080, Voucher for Transfer Between Appropriations
 and/or Funds
 SF 1081, Voucher and Schedule of Withdrawals and
 Credits
 SF 1096, Schedule of Voucher Deductions
 SF 1097, Voucher and Schedule to Effect Correction
 of Errors
 SF 1098, Schedule of Cancelled Checks
 SF 1113, Public Voucher for Transportation Charges
 OF 1114, Bill of Collection
 OF 1114A, Official Receipt
 OF 1114B, Collection Voucher
 OF 1129, Reimbursement Voucher
 OF 1143, Advertising Order
 OF 1145, Voucher for Payment Under Federal Tort
 Claims Act
 OF 1154, Public Voucher for Unpaid Compensation
 Due a Deceased Civilian Employee
 OF 1156, Public Voucher for Fees and Mileage
 OF 1166, Voucher and Schedule of Payments
 OF 1185, Schedule of Undeliverable Checks for
 Credit to Government Agencies
 OF 1218, Statement of Accountability (Foreign
 Service Account)
 OF 1219, State of Accountability
 OF 1220, Statement of Transactions According to
 Appropriation, Funds and Receipt Accounts
 OF 1221, Statement of Transactions According to
 Appropriations, Funds and Receipt Accounts
 (Foreign Service Account).

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-115
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

15060 General Fund Files

Records relating to availability, collection, custody and deposit of	Cut off files annually.
Destroy old. funds including appropriation warrants	when 3 yrs.
and certificates of deposit (SF 215), other than those records covered by Items 15010-15020 of this chapter.	(GRS 6/4)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

XV. FISCAL MANAGEMENT RECORDS

Accounting Administrative Files

Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.

- | | | | |
|-------|----|-------------------------------------------------------------------------------|--------------------------------------------------------------|
| 15070 | a. | Files used for workload and personnel management purposes. | Cut off files annually. Destroy when 2 yrs. old. (GRS 6/5.a) |
| 15080 | b. | All other files. Cut off files annually. Destroy when 3 yrs. old. (GRS 6/5.b) | |

Federal Personnel Study Bond Files

- | | | | |
|-----------------------------------------------------------------|----|------------------------------------------------------------------------|----------------------------------------------------------------------|
| a. Official copies of the bond and attached powers of attorney. | | | |
| 15090
after

inactive. | 1) | Bonds purchased before January 1, 1956. | Destroy 15 yrs. bond becomes (GRS 6/6.a) |
| 15100
after | 2) | Bonds purchase after December 31, 1955. | Destroy 15 yrs. the end of the bond premium period. (GRS 6/6.a. (2)) |
| 15110
bond | b. | Other bonds files, including other copies of bonds and related papers. | Destroy when becomes inactive or after the end of the bond premium |
-

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-117
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

period .
(GRS 6/6.b)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

XV. FISCAL MANAGEMENT RECORDS

15120 Gasoline Sales Tickets

Hard copies of sales tickets filed in support of paid vouchers for credit card purchases of gasoline. after GAO audit of when 3 yrs. old, whichever is sooner. (GRS 6/7)

Cut off files annually.

Destroy

Telecommunications Records

15130 a. Originals and copies of toll tickets filed in support of telephone toll call payments. after GAO audit or when 3 yrs. old, whichever is sooner. (GRS 6/8)

Cut off files annually.

Destroy

15140 b. Originals and copies of telegrams filed in support of telegraph bills.

Cut off files annually.
Destroy after GAO audit or when 3 yrs. old, whichever is sooner. (GRS 6/9)

15150 Transportation Voucher Files

Vouchers identified by "T" prefixed to the voucher and schedule of payment number which involves U.S. Tariff rates.

Cut off files
paid* Destroy
after payment.
* Note :
Vouchers are sent to GSA for review on monthly basis.

when
10 yrs.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-119
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

15160 Claims Files

Documentation and claimants who	Cut off files
when suffer loss of property and effects	resolved. Hold
in and other loss.	office 3 yrs. then retire to WNRC. Destroy 6 yrs. after settlement of claim.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

XV. FISCAL MANAGEMENT RECORDS

Expenditure Accounting Files

15170 Expenditures Accounting General Correspondence and Subject Files

	Correspondence or subject files maintained by operating units	Cut off files annually.
Destroy	responsible for expenditures	when 2 yrs.
old.	accounting, pertaining to their internal operations and administration.	(GRS 7/1)

Accounting Ledgers

15180	a.	General accounts ledgers, showing debit and credit entries, and	Cut off files annually. Hold
in		reflecting expenditures in summary.	office 3 yrs. then retire to WNRC. Destroy 6 yrs., 3 months after the close of the fiscal year involved. (GRS 7/2)
15190	b.	Appropriation Allotment Ledgers showing status of obligations and	Cut off files annually. Hold
in		allotments under each authorized	office 3 yrs.
then		appropriation. retire to WNRC. Destroy 6 yrs., 3 months after the close of the fiscal year involved. (GRS /3)	

Expenditure Accounting Posting and Control Files

15200	a.	Original records.	Cut off files annually.
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AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-121
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

D e s t r o y
when 3 yrs.
old. (GRS
7/4.a)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

XV. FISCAL MANAGEMENT RECORDS

15210 b. Copies

Cut off files annually. Destroy when 2 yrs. old. (GRS 7/4.b)

Stores Plant and Cost Accounting Files

(See Chapter XVI. GENERAL SUPPORT SERVICES RECORDS).

Employee Services Files

15220 Individual Accounts Files

Individual earning and service cards, such as Optional Form 1127 or equivalent.

Transfer to the National Personnel Records Center (NPRC), St. Louis, Missouri.
(a) If filed in official personnel folder (OPF) or in individual pay folder adjacent to the OPF, destroy with the OPF.
(b) If not in or filed adjacent to the OPF, destroy 56 yrs. after the date of the last entry on the card.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-123
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

(GRS 2/1)

15230 Payroll Correspondence Files

General correspondence files maintained
by payroll units pertaining to payroll
preparation and processing.

Destroy

Cut off files
annually.

when 2 yrs.
old. (GRS
2/2)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

XV. FISCAL MANAGEMENT RECORDS

Time and Attendance Reports Files

	a.	Forms such as Optional Form 1130 or equivalent.	
15240	1)	Payroll preparation and processing copies.	Cut off files annually. D e s t r o y after GAO audit or when 3 yrs. o l d , whichever is sooner. (G R S 2/3.a.(1)
15250	1)	All other copies.	Destroy 6 months after the end of the pay p e r i o d . (GRS 2/3.a. (2)
15260	b.	Flexitime Attendance Records.	
		Supplemental time and attendance records, such as sign-in/sign-out	Cut off files annually.
Destroy		sheets and work reports, used for	after GAO
audit or		time accounting under Flexitime systems.	when 3 yrs. o l d , whichever is sooner. (GRS 2/3.b)
15270		<u>Individual Pay Case Files</u>	
		Folders containing documents pertaining	Cut off files
when		to employees pay history including	employee

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-125
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

separates.		
allotments from purchases documents,		Hold in office
3 yrs.		
leave data, SF 50s, payroll change		then retire to
WNRC.		
slips, income tax and retirement		Destroy 7 yrs.
after		
material, levied and garnishment		separation of
records and related other documents		employee.
and correspondence.		

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

XV. FISCAL MANAGEMENT RECORDS

- (1) NOTE: This item brings together documents pertaining to the pay history of individual employees. The retention period prescribed exceeds those contained in General Records Schedule 2, Payrolling and Pay Administration Records for all of the documents which some agencies do not bring together in one separate record series but rather maintain in several series. The 7 year retention period satisfies all Agency needs for the records based on reference experience over an extended period of time.
- (2) See Treasury Fiscal Requirements Manual, para, 60 20.20e for instructions relating to savings bonds authorizations, and FPM Chapter 550, Subchapter 3, Part 8, for instructions relating to CFC authorizations.

15280 Bond Registration Files

Issuing agent's copies of bond registration stubs.

Cut off files annually.
D e s t r o y
when 2 yrs.
old. (GRS
2/5)

15290 Bond Receipt and Transmittal Files

Receipts for transmittals of U.S. Savings
months
Bond and checks. date of receipt. (GRS 2/6)

Destroy 3

15200 Budget Authorization Reference Files

Copies of budget authorizations in
operating payroll units used to control

Destroy when
superseded.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-127
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

personnel ceilings and personnel actions.

(GRS 2/12)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

XV. FISCAL MANAGEMENT RECORDS

Payroll Files

Memorandum copies of payrolls, check list, and related certification sheets, such as SF 1013A, SF 1128A, or equivalents.

15210 Federal receives	a.	Security copies of documents prepared or used for disbursement by Treasury disbursing offices, with related papers.	Destroy when Record Center s e c o n d subsequent payroll or checklist covering the s a m e payroll unit. (GRS 2/13. a)
	b.	All other copies.	
15320	1)	If earning record card is maintained.	C u t o f f annually. D e s t r o y after GAO audit or when 3 yrs. o l d , whichever is sooner. (GRS 2/13. b.(1)
15330 NPRC,	2)	If earning record card is not maintained.	Transfer to St. Louis, Missouri when 3 yrs. o l d . D e s t r o y when 10

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-129
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

yrs. old.
(G R S
2/13.b.(2)

15340 Payroll Control Files

Payroll control registers.

Cut off files
annually.
D e s t r o y
after GAO
audit or
when 3
years old,
whichever
is sooner.
(GRS 2/14)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

XV. FISCAL MANAGEMENT RECORDS

Fiscal Schedules Files

Memorandum copies of fiscal schedules used in the payroll process.

- | | | |
|-------|----------------------------|----------------------------------------------------------------------------------------------------------|
| 15350 | a. Copy used in GAO audit. | Cut off files annually. Destroy after GAO audit or when 3 yrs. old, whichever is sooner. (G R S 2/16.a) |
| 15360 | b. All other copies. | Destroy 1 month after the end of the pay period. (G R S 2/16.b) |

Administrative Payroll Report Files

Reports, statistics, with supporting and related records pertaining to payroll operations and pay administration.

- | | | |
|-------|--------------------------------------------------------------------------|---------------------------------------------------------------|
| 15370 | a. Reports and data used for workload and personnel management purposes. | Cut off files annually. Destroy when 2 yrs. old. (GRS 2/17.a) |
| 15380 | b. All other reports and data. | Cut off files annually. Destroy when 3 yrs. old. (GRS |
-

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-131
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

2/17.b)

15390 Insurance Deduction Files

Reports and related papers including
copies of vouchers and schedules of
Destroy payments pertaining to insurance
old.
deductions. (GRS 2/22)

Cut off files
annually.
when 3 yrs.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

XV. FISCAL MANAGEMENT RECORDS

15400 Wage Survey Files

Wage survey reports and data, working
after papers and related correspondence
wage pertaining to area wages paid for each
Destroy after employee class; background papers
second establishing needed authorization,
wage direction, and analysis of wage surveys;
2/24) development and implementation of wage
schedules; and request for and author-
ization of specific rates (excluding
authorized wage schedules and wage survey
recapitulation sheets).

Cut off files
completion of
s u r v e y .
completion of
succeeding
survey. (GRS

Loan Services Files

15410 Loan Files

Folders containing loan agreements, loan
when guaranty documents, selected project
Hold in implementation letters (PILS), amortization
then schedules, and related documents pertaining
WNRC. to loans with host countries under foreign
aid program.

Cut off files
loan is paid.
office 3 yrs.
retire to
Destroy 6 yrs.,
3 months
after loan is
paid and no
claims are
outstanding.

Payment Files

These files consist of:

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-135
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

15470 c. Individual Loan Ledger.

Destroy 6
yr. 3 months
after final
payment or
determinati
on that loan
i s
uncollectab
le.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

XVI. GENERAL SUPPORT SERVICES RECORDS

This Chapter groups together records relating to internal service operations; acquisition, allocation, and administration of Agency space; building maintenance, safety and protection; administration and accountability for supplies and equipment; motor pool operation and maintenance; library, printing, reproduction, and distribution services provided for Agency internal operating purposes. It does not provide for the disposition of records pertaining to the procurement of items--see XVIII. PROCUREMENT AND CONTRACTING RECORDS.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED
	<u>Building Services Records</u>	
16010 1 yr.	a. Requisition for nonpersonal services such as laundry, telephone, duplicating, and bindings.	Destroy when old. (GRS 3/8)
16020	b. Plant accounting cards and ledgers pertaining to structures.	Destroy when structures leave AID control.
16030 after work or of	c. Requests for building and equipment maintenance, moving service, and electrical (including renovation), except fiscal copies.	Destroy 2 yrs. completion of cancellation requisition. (GRS 3/9.a)
	<u>Building Protection Records</u>	
16040 1 yr. 18/19)	a. Security check on lock cabinet forms, record of personnel opening and closing combination or lock files or vaults each day, or performing room security check at close of day.	Destroy when old. (GRS
16050	b. Copies of security inspections of	Destroy when

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-137
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

4 yrs. 18/10		Government and privately owned buildings.	old. (GRS and 11)
16060 2 yrs. 18/12)	c.	Copies of investigative reports of fires or other property damage and reports of minor building damage.	Destroy when old. (GRS

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

XVI. GENERAL SUPPORT SERVICES RECORDS

	d.	Material regarding accountability of keys issued:	
16070	1)	For security area	Destroy 3 yrs. after turn-in of key. (GRS 18/17.a)
16080	2)	For nonsecure areas	Destroy 6 months after turn-in of key. (GRS 18/17.b)
16090 after	e.	Registers of logs of visitors admitted to security areas.	Destroy 2 yrs. final entry or 2 yrs. after day of document, as appropriate. (GRS 18/18.b)
16100	<u>Building and Occupant Safety Records</u>		
Destroy old.		Material regarding protection of buildings and occupants from damage or injury. Includes fire drills, civilian defense measures such as designation of shelter areas, etc.	Cut off files annually. when 3 yrs.
	<u>Telephone Use Records</u>		
16110 Destroy	a.	General correspondence on telephone and radio service, not involving interagency agreements.	Cut off files annually. when 3 yrs.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-139
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

			old. (GRS 12/2.b)
16120 after	b.	Interagency agreements for AID use of telephone facilities.	Cut off files termination o f agreement. D e s t r o y 2 yrs. after t e r m i n - a t i o n o f agreement. (G R S 12/2.3)
16130 3 yrs. 12/2.b)	c.	Telephone installation or service general files.	Destroy when old. (GRS

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

XVI. GENERAL SUPPORT SERVICES RECORDS

16140 d. Telephone statements and toll slips. Dispose of
w i t h
covering
voucher.
(GRS 6/8)

16150 e. Telephone directories. D e s t r o y
w h e n
superseded
or obsolete.
(non-record
)

Equipment and Supplies Records

16160 a. General routine correspondence Cut off files
regarding receipt, transfer, and annually.
Destroy assignment of personal property. when 2 yrs.
old. (GRS
3/3 and 4/4)

16170 b. Requisitions for supplies and Cut off files
when equipment from current inventory. o r d e r i s
complete.

16180 1. Stockroom Copies Destroy 2
yrs. after
completion
of order.
(GRS 3/9.a)

16190 2. Requesting office copy D e s t r o y
w h e n 6
months old.
(GRS 3/9.b)

16200 c. Requisition Register showing receipt Cut off files
and progress of pending requisitions. annually.
D e s t r o y
when 2 yrs.
old.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-141
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

16210 d. Inventory listing of supplies
and equipment. equipment is trans-

Cut off files
when

f e r r e d .
Destroy 2
yrs. after
data of list.
(GRS 3/9.a)

16220 e. Reports of surveys of personal property.

Cut off files
annually.
D e s t r o y
when 2 yrs.
old. (GRS
4/4)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

XVI. GENERAL SUPPORT SERVICES RECORDS

16230	f.	Property pass files authorizing removal to personal custody of government property.	Destroy 3 months after property.	return of (GRS 18/13)
16240	g.	Files of Reports of Excess Personal Property (SF 120) and correspondence relating to personal property disposal.	Destroy	Cut off files annually. when 3 yrs. old. (GRS 4/5)
16250	h.	Quarterly Utilization and Disposal of Excess and Surplus Personal Property Reports.	Destroy	Cut off files annually. when 3 yrs. old. (GRS 4/5)
16260	i.	Excess Property Disposal Record describing model number, acquisition cost, and market value.	Destroy	Cut off files annually. when 3 yrs. old. (GRS 4/5)
	j.	Case files on sales of surplus property, comprising invitations, bids, acceptance, listings of materials, evidence of sales, and related correspondence:		
16270	1)	Transactions of \$10,000 or less.		Cut off files after final payment. Destroy 3 yrs. after final payment.
16280	2)	Transactions of more than \$10,000.		Cut off files after final

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-143
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

payment.
Destroy 6
yrs. after
f i n a l
payment.

16290 3) Transactions of more than \$25,000
of files

MS/MO/PA/RM.

which represent departure from

established sales or disposal
procedures.

Send report

t o

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

XVI. GENERAL SUPPORT SERVICES RECORDS

16300 after AID	k.	Material documenting ownership or custody of aircraft by AID, including assignment to a particular overseas office, flight plan summary, detachment and disposition.	Destroy 5 yrs. aircraft leaves control.
16310 Destroy	l.	Invoices and related files used for stores accounting, including returns and reports. when 3 yrs. old. (GRS 8/3)	Cut off files annually.
16320	m.	Listings and work papers used in accumulating stores accounting data.	Cut off files annually. Destroy when 2 yrs. old. (GRS 8/5)
16330 after withdrawn from	n.	Plant accounting cards, reports, ledgers, and inventories covering household type equipment and furnishings. (GRS 8/6)	Destroy 3 yrs. i t e m i s plant account.
16340 after withdrawn from	o.	Plant accounting reports, ledgers, and inventories covering office equipment and furnishings.	Destroy 3 yrs. i t e m i s p l a n t account. (GRS 8/6)
16350 Destroy old.	p.	General administrative correspondence relating to acquisition, use, and release of office equipment and furnishings.	Cut off files annually. when 3 yrs.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-145
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Library Service Files

- | | | | |
|--------------------|----|-----------------------------------------------------------------|--------------------------------------------------|
| 16360 | a. | General correspondence regarding library operation and service. | Cut off files annually. Destroy when 2 yrs. old. |
| 16370
no longer | b. | Library accession records showing publications received. | Destroy when needed. |
| 16380
no longer | c. | Control cards for items charged from library. needed. | Destroy when |

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

XVI. GENERAL SUPPORT SERVICES RECORDS

Motor Pool Operation Files

16390	a.	Annual Motor Vehicle Report (SF 82) and other reports regarding vehicles and motor pool operations.	Cut off files annually. when 4 yrs. old. (GRS 10/4)
Destroy			
16400	b.	Material regarding motor vehicle accidents.	Cut off files after close of case. Destroy 6 yrs. after close of case. (GRS 10/5)
16410	c.	Vehicle Dispatch Register showing time, destination, and driver of vehicle, or individual trip tickets reflecting use of vehicles (except copies used in collection of funds).	Destroy when
1 year			old.
16420	d.	Correspondence regarding maintenance and operation of vehicles.	Cut off files annually. Destroy when 2 yrs. old. (GRS 10/1)
16430	e.	Operating records on individual vehicles.	Destroy when 3 months old. (GRS 10/2.a)
16440	f.	Maintenance records on individual vehicles.	Destroy when 1 year old. (GRS 10/2.b)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-147

16450 after employee expiration	g.	Material regarding individual employee operation of Government- owned vehicles, including application forms, drivers' tests, authorization to use, and safe-driving awards.	Destroy 3 yrs. separation of or 3 yrs. after recision or of permit, whichever is earlier. (GRS 10/7)
16460 when AID	h.	Vehicle Release Files including Certification of Release, or evidence of sale, transfer or exchange.	Cut off files vehicle leaves control. Destroy 4 yrs after vehicle leaves AID custody. (GRS 10/6)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

XVI. GENERAL SUPPORT SERVICES RECORDS

Reproduction and Distribution Services Files

16470	a.	Correspondence pertaining to printing and distribution unit regarding administration and operation of the office. (GRS 13/2)	Cut off files annually. when 2 yrs.
Destroy old.			
16480	b.	Agency reports to Joint Committee on Printing regarding operation and equipment inventories of printing facility.	Cut off files annually. when 2 yrs. old. (GRS 13/6)
Destroy			
16490	c.	Control registers, logs and forms pertaining to requisitions and work orders for printing.	Cut off files annually. when 1 year old. (GRS 13/4)
Destroy			
16500	d.	Requisitions for printing, binding, etc., to Government Printing Office:	Cut off files completion or
on cancel- completion of	1)	Copy of requisition, invoice, specification, and related papers.	lation. Destroy 3 yrs after or cancellation order.
	e.	Job or project case files covering planning and execution of duplication, collating, and binding (except GPO jobs, for which see above):	
16510	1)	Jobs performed by Agency.	Cut off files annually. Destroy when 1 year

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-149

o l d .
(GRS 13/3.
a)

16520 2) Commercial contract jobs.

Cut off files
annually.
D e s t r o y
when 6 yrs.
old. (GRS
3/4)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

XVI. GENERAL SUPPORT SERVICES RECORDS

- f. Mailing and distribution lists and related material:
- | | | |
|----------------------------------|-------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------|
| 16530
revision

13/5.a) | 1) Correspondence, request forms,

and other records regarding changes

in mailing lists. | Destroy after

of list. (GRS |
| 16540 | 2) Card lists. | D e s t r o y
individual
cards when
cancelled or
r e v i s e d .
(GRS 13/5.
b) |
| 16550
cancelled | 3) Plate or stencil lists (including

the plate or stencil). | Destroy when

or revised.
(GRS 13/5.
c) |

Space Files

- | | | |
|----------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------|
| 16560

Destroy

old. | a. General correspondence files of the
office responsible for space and

maintenance matters, including

warehousing, pertaining to its own
operation and administration. | Cut off files
annually.

when 2 yrs.

(GRS 11/1) |
| | b. Records regarding allocation,
utilization, occupancy, and release
of space under AID control: | |
| 16570
after

assign- | 1) Building plans and related records

utilized in space planning,

assignment, and adjustment. | Destroy 2 yrs.

termination of

ment, when
l e a s e i s |
-

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-151
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

cancelled,
or when
plans are
superseded
or obsolete.
(GRS 11/2.
a)

16580 2) Cards on individual occupants.
above.

See b. 1)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

XVI. GENERAL SUPPORT SERVICES RECORDS

16590	c.	Space reports including but not limited to Annual Report of Real Property Owned by U.S. Government (SF 1166), listing land, buildings, and other facilities,	Cut off files annually.
Destroy		Non-Residential Real Property Report,	
		Summary of Number of Installations owned by United States as of end of fiscal year (GSA Form 1209),	
		Quarterly Agency Space Report (D.C. and adjacent areas), providing current information on AID utilization of space in and around D.C.,	
		General Purpose and Other Space Managed by GSA (GSA Form 1731) -- estimated amounts to be transferred to GSA to finance space for expansion and other purposes, etc.,	
16600	d.	Records documenting Agency use,	Destroy 2 yrs.
after		custody, or rental of office space, indicating square footage held, organizational component in the space, dates of occupancy, and location or address.	termination of occupancy.
16610	e.	Lease files on domestic and overseas offices. Copies of leases, renewals,	Cut off files
when		termination notices, and related papers.	l e a s e
terminates.			Destroy 3 yrs. after l e a s e terminated or is cancelled, or 3 yrs.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-153
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

a f t e r
conclusion
of litigation
(if any)
whichever
is later.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-155
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XVII. PERSONNEL RECORDS

This Chapter covers all phases of personnel administration including position classification and standards; recruitment, appointment, placement and separation of employees; employee-management relations and necessary personnel services; programs; and conditions of employment.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED
	<u>Official Personnel Folders</u>	
	Folders on Civil Service and Foreign Service AID employees. These records are designated as property of the Civil Service Commission and are maintained in accordance with the Federal Personnel Manual:	
17010	a. All copies of correspondence and transfer forms maintained as temporary records on the left side of the folder, in accordance with FPM.	Destroy upon or separation employee or o l d , whichever is sooner. (GRS 1/10)
17020	b. Folders of employees transferring to Personnel another agency. Manual. (GRS 1/1.b(1))	See Federal
17030	c. Folders of separated employees.	Transfer to inactive files upon separation, and forward to Federal Records Center, St. Louis, within: 1. 6 months

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

f o r F S
employee.

2. 30 days
f o r G S
employees.
(GRS 1/1)
(G R S
1/1.b.(2)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-157
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XVII. PERSONNEL RECORDS

Service Record Cards

Service Record Card (Standard Form 7 or its equivalent).

17040 NPRC Louis,	a.	Cards for employees separated or transferred on or before December 31, 1947.	Transfer to (CPR), St. Missouri. Destroy 60 yrs after earliest personnel action date. (GRS 1/2.a)
-----------------------------	----	------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------

17050 employee Destroy	b.	Cards for employees separated or transferred on or after January 1, 1948.	Cut off when separates. 3 yrs. after separation or transfer of employee. (GRS 1/2.b)
----------------------------------	----	---------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------

17060 Personnel Correspondence Files

Destroy old.	Correspondence, reports, memoranda, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records maintained at Agency staff planning levels.	Cut off files annually. when 3 yrs. (GRS 1/3)
---------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-------------------------------------------------------------

Offers of Employment Files

Correspondence, letters, and telegrams offering appointment to potential employees.

17070 immediately.	a.	Accepted offers.	D e s t r o y (GRS 1/4.a)
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b. Declined offers.

17080	1)	When name is received from	Return to OPM
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Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

with

certificate of eligibles.

reply and
application.
(GRS 1/4.b(1))

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-159
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XVII. PERSONNEL RECORDS

17090 2) Temporary or excepted appointment. File inside application (see item 17330 of this chapter.) (GRS 1/4.b(2))

17100 3) All others. Destroy immediately. (GRS 1/4.b(3))

17110 Certificate of Eligibles Files

Certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over old. Destroy when 2 yrs. (GRS 1/5)

a preference eligible and selecting a nonpreference eligible.

17120 Employee Record Cards

Employee record cards used for separation informational purposes outside personnel office (such as SF 7-B). Destroy on or transfer of employee. (GRS 1/6)

Position Classification Files

a. Position Classification Standards Files.

17130 1) Standards and guidelines issued Destroy when superseded or obsolete. or reviewed by OPM and used to classify and evaluate positions within the Agency. (GRS 1/7.z(1))

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

- 2) Memoranda, correspondence and other records relating to the development of standards for classification of positions peculiar to the Agency and OPM approval or disapproval.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-161
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XVII. PERSONNEL RECORDS

17140 (a) Case Files. C u t o f f
w h e n
position is
abolished.
Destroy 5
yrs. after
position is
abolished
o r
description
i s
superseded.
(GRS 1/7.a.
(2)(a)

17150 (b) Review Files. D e s t r o y
when 2 yrs.
o l d .
(GRS 1/7.a.
(2)(b)

b. Position Descriptions.

Files describing established
positions including information on
title, series, grade, duties and
responsibilities.

17160 1) Record copy. C u t o f f
w h e n
position is
abolished.
Destroy 5
yrs. after
position is
abolished or
description
s u p e r -
s e d e d .
(G R S
1/7.b.(1)

17170 2) All other copies. D e s t r o y

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

w h e n
position is
abolished or
d e -
scription
superseded.
(G R S
1/7.b.(2)

	c. Survey Files.	
17180	1) Classification Survey Reports.	Cut off files
Destroy	Survey reports on various	annually.
or	positions prepared by classifi-	when 3 yrs. old
regular	cation specialists, including	2 yrs. after
	periodic reports.	inspection, whichever is sooner. (GRS 1/7.c. (1)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-163
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XVII. PERSONNEL RECORDS

17190 obsolete	2) Inspection, Audit and Survey File. Correspondence, memoranda, reports and other records relating to inspections, surveys, desk audits and evaluations.	Destroy when or superseded. (GRS 1/7.c.(2))
	d. Appeals Files.	
17200 case is	Case files relating to classification appeals. (GRS 1/7.d)	Cut off when closed. Destroy 3 yrs. after case is closed.
17210	<u>Interview Records</u> Correspondence, reports and other records months after relating to interviews with employees. (GRS 1/8)	Destroy 6 transfer or separation of employee.
17220	<u>Performance Rating Board Case Files</u> Copies of case files forwarded to OPM when relating to performance rating board reviews. Destroy 1 year after case is closed. (GRS 1/9)	Cut off files case is closed.
17230	<u>Temporary Individual Employee Records</u> All copies of correspondence and forms separ- maintained on the left side of the of Official Personnel Folder in accordance when with Federal Personnel Manual, whichever Chapter 293, and Supplement 293-31.	Destroy upon ation or transfer employee or 1 year old, is sooner.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

(GRS 1/10)

17240 Position Identification Strips

position	Strips such as Standard Form 7D,	Destroy when
or new	used to provide summary data on each	is cancelled
	position occupied. strip is prepared. (GRS 1/11)	

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-165
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XVII. PERSONNEL RECORDS

Employee Awards Files

a. General awards records.

17250 after approval/disapproval. after 1/12.a.(1)	1) Case files including recommend- ations, approved nominations, memoranda, correspondence, reports and related handbooks pertaining to Agency-sponsored cash and non-cash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.	Cut off files Destroy 2 yrs. cutoff. (G R S
17260 Destroy old. 1/12.a.(2)	2) Correspondence or memoranda pertaining to awards from other government agencies or private organizations.	Cut off files annually. when 2 yrs. (G R S
17270 Destroy old.	b. Length of Service and Sick Leave Awards Files. Records including correspondence, memoranda, reports, computations or service and sick leave, and list of awardees.	Cut off files annually. when 1 year (GRS 1/12.b)
17280 Destroy old.	c. Letters of Commendation and Appreciation. Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for	Cut off files annually. when 2 yrs.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

performance, EXCLUDING copies filed (GRS 1/12.c)
in the Official Personnel Folder.

17290 d. Lists or Indexes to Agency Award
Nominations.

super- Lists of nominees and winners, and Destroy when
indexes of nominations. s e d e d o r
obsolete. (GRS 1/12.d)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-167
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XVII. PERSONNEL RECORDS

17300 Incentive Awards Program Reports

Reports pertaining to the operation of the Incentive Awards Program.

Cut off files annually.
D e s t r o y
when 3 yrs.
o l d .
(GRS 1/13)

Notifications of Personnel Actions

Standard Form 50 documenting initial employment, promotions, transfers in or out, separation, and all other individual personnel actions, exclusive of those in Official Personnel Folders.

17310 a. Chronological file copies, including fact sheets, maintained in personnel

Destroy

offices.

when 3 yrs. old. (GRS 1/14.a)

Cut off files annually.

17320 b. All other copies maintained in personnel offices.

Cut off files annually.
D e s t r o y
when 1 year
old. (GRS
1/14.b)

17330 Employment Applications

Applications (Standard Form 171) and receipt related records, EXCLUDING records inspection relating to appointments requiring 2 yrs. Senatorial confirmation and applications is resulting in appointment which are filed provided the in the Official Personnel Folder (see of the

Destroy upon
o f O P M
report or when
old, whichever
e a r l i e r ,
requirements

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

items 17010-17030 above).

F e d e r a l
P e r s o n n e l
M a n u a l
C h a p t e r
333, Section
A-4, are
observed.
(GRS 1/15)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-169
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XVII. PERSONNEL RECORDS

17340 Personnel Operations Statistical Reports

	Statistical reports in the operating personnel office and subordinate units	Cut off files annually.
Destroy	relating to personnel management	when 2 yrs.
old.	activities within the Agency.	(GRS 1/16)

Correspondence and Forms Files

Operating personnel office records relating to individual employees not maintained in Official Personnel Folders and not provided for elsewhere in this schedule.

17350 action	a. Correspondence and forms relating to pending personnel actions.	Destroy when i s completed. (GRS 1/17. a)
-----------------	--------------------------------------------------------------------	-----------------------------------------------------------

b. Retention Registers.

17360	1) Registers from which reduction-in-force actions have been taken.	Cut off files annually. Destroy when 2 yrs. old. (GRS 1/17.b.(1)
-------	---------------------------------------------------------------------	---------------------------------------------------------------------------------

17370 super-	2) Registers from which no reduction-in-force actions have been taken.	Destroy when s e d e d o r o b s o l e t e . (G R S 1/17.b.(2)
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17380	c. All other correspondence and forms.	D e s t r o y w h e n 6 m o n t h s o l d .
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Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

(G R S
1/17.c)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-171
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XVII. PERSONNEL RECORDS

17390 Medical Case Files

<p>Medical histories, examinations, including employee laboratory reports, hospital reports and Retire to clinical interviews, and other material Louis, MO., pertaining to Foreign Service employees and separ- their eligible dependents and employees of other Government agencies who are partici- separ- pating in the medical and health programs action. of the Department of State.</p>	<p>Cut off when separates. NPRC St. 2 yrs. after ation. Destroy 17 yrs. after ation or last (NC1-59-7 6 - 1 2) , item 1a) (Disposal suspended per GSA F P M R Bulletin B 1 1 2 , August 5, 1981.)</p>
-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Employee Medical Folder (EMF)

- a. Long-term medical records as defined
in the Federal Personnel Manual (FPM),
Chapter 293.

17391	(1) Transferred employees.	See FPM f o r instructions.
17392	(2) Separated employees.	Transferred to National Personnel Records Center (NPRC), St.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Louis, MO,
30 days
a f t e r
separation.
NPRC will
destroy 75
years after
birth date of
employee,
60 years
after date of
the earliest
document in
the folder if
the date of
birth cannot
b e
ascertained,
or 30 years
after latest
separation,
whichever
is later.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-173
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XVII. PERSONNEL RECORDS

17393 b. Temporary or short-term records as Destroy 1 year
after defined in the FPM. separation
or trans-
fer of employee

17394 c. Individual Employee Health Case Destroy 60 yrs.
after Files created prior to establishment retirement to
FRC. of the EMF system that have been
retired to an FRC.

Employee Performance File System Records

a. Non-SES appointees (as defined in 5 USC 4301(2))

17400 1) Appraisals of unacceptable Cut off files
after performance, where a notice of the employee
completes proposed demotion or removal is 1 year of
acceptable issued by not effected, and all performance
from the related documents. date of the
written
advance
notice of
proposed
removal or
reduction in
grade
notice.
(GRS 1/23.
a.(1))

17410 2) Performance records superseded Destroy upon
super- through an administration, session.
judicial, or quasi-judicial (G R S
1/23.a.(2) procedure.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

17420	3)	Performance-related records pertaining to a former employee.	Cut off files annually. Destroy when 3 yrs. old or when no longer needed, whichever is sooner. (GRS 1/23.a.(3))
17430 after appraisal. after appraisal. 1/23.a.(4)	4)	All other summary performance appraisal records including performance appraisals and job elements and standards upon which they are based.	Cut off files date of Destroy 3 yrs. date of (G R S

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-175
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XVII. PERSONNEL RECORDS

17440	5) Supporting documents.	Cut off files a f t e r appraisal. D e s t r o y 3 yrs. after date of appraisal or when no l o n g e r needed, whichever is sooner. (G R S 1/23.a.(5)
	b. SES appointees (as defined in 5 USC 3132a(2).	
17450	1) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.	Destroy upon supersession. (G R S 1/23.b.(1)
17460 pending. 1/23.b.(2)	2) Performance-related records pertaining to a former SES appointee.	Disposition (G R S
17470 after Destroy of	3) All other performance appraisals, along with job elements and standards (job expectations) upon which they are based.	Cut off files appraisals. 5 yrs. after date appraisal, exclusive of any interim service as a P r e s i - d e n t i a l

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

appointee.
(G R S
1/23.b.(3)

17480 4) Support documents.

Cut off files
a f t e r
appraisal.
Destroy 5
yrs. after
date of
appraisal or
when no
l o n g e r
needed,
whichever
is sooner.
(G R S
1/23.b.(4)

17490 c. Presidential appointees.

Disposition
pending.
(G R S
1/23.c)

Financial Disclosure Reports

S e e V I .
LEGISLAT
IVE AND
L E G A L
AFFAIRS
RECORDS.
(GRS 1/25)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-177
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XVII. PERSONNEL RECORDS

Equal Employment Opportunity Records

- | | | | |
|-------|----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------|
| 17500 | a. | <p>Official Discrimination Complaint Case Files.</p> <p>Originating agency's file containing</p> <p>complaints with related correspondence,</p> <p>reports, exhibits, withdrawal notices,</p> <p>copies of decisions, records of hear-</p> <p>ings and meetings, and other records as described in 29 CFR 1613.222. Cases resolved within the agency, by EEOC, or by a U.S. Court.</p> | <p>Cut off files</p> <p>resolution of</p> <p>Destroy 4 yrs.</p> <p>resolution of</p> <p>(GRS 1/26.a)</p> |
| 17510 | b. | <p><u>Copies of Complaint Case Files</u></p> <p>Duplicate case files or documents</p> <p>pertaining to case files retained</p> <p>in Official File Discrimination</p> <p>Complaint Case Files.</p> | <p>Destroy 1 year</p> <p>resolution of</p> <p>Destroy 2 yrs.</p> <p>f i n a l
resolution
of case.
(G R S
1/26.c)</p> |
| 17520 | c. | <p>Background Files.</p> <p>Background records not filed in the</p> <p>Official Discrimination Complaint</p> <p>Case Files.</p> | <p>Cut off files</p> <p>resolution of</p> <p>Destroy 2 yrs. after final resolution of case. (GRS 1/26.c)</p> |
| | d. | <p>Compliance Records.</p> | |
| 17530 | 1) | <p>Compliance Review Files.</p> | |
-

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Destroy	Reviews, background papers, and correspondence relating to contractor employment practices.	Cut off files annually. when 7 yrs. old. (GRS 1/26.d.(1)
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17540	2) EEO Compliance Reports.	Cut off files annually. D e s t r o y when 3 yrs. old. (GRS 1/26.d.(2)
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AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-179
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XVII. PERSONNEL RECORDS

- 17550 e. Employee Housing Requests.
- Forms requesting Agency assistance in housing matters, such as rental or purchase. when 1 year old. (GRS 1/26.e)
- Cut off files annually.
- Destroy
- 17560 f. Employment Statistics Files.
- Employment statistics relating to race and sex. annually. Destroy when 5 yrs. old. (GRS 1/26.f)
- Cut off files
- 17570 g. EEO General Files.
- General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation; and Agency EEO Committee meeting records including minutes and reports.
- Cut off files annually.
when 3 yrs.
w h e n
o b s o l e t e ,
is applicable.
(GRS 1/26.g)
- Destroy
old, or
superseded or
whichever
- h. EEO Affirmative Action Plans (AAP).
- 17580 1) Agency copy of consolidated AAP(s).
- Destroy 5 yrs. from date to plan. (GRS 1/26.h.(1))
- 17590 2) Agency feeder plan to consolidated AAP(s).
- Destroy 5 yrs. date of feeder plan or when administrative purposes have been serviced,
-

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

whichever
is sooner.
(GRS 1/26.
h.(2)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-181
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XVII. PERSONNEL RECORDS

Personnel Counseling Records

17600 a. Counseling Files.

after Reports of interviews, analyses and Cut off files

related records. termination of counseling. Destroy 3 yrs. after cut-off.
(GRS 1/27.a)

17610 b. Alcohol and Drug Abuse Program.

Destroy Records created in planning, coordin- Cut off files

ating and directing an alcohol and annually.

drug abuse program. when 3 yrs.
old. (GRS
1/27.b)

17620 Standards of Conduct Files

obsolete Correspondence, memoranda and other Destroy when

records relating to codes of ethics or superseded.
and standards of conduct. (GRS 1/28)

Labor Management Relations Records

a. Labor Management Relations General
and Case Files.

Correspondence, memoranda, reports
and other records relating to the
relationship between management and
employee unions or other groups:

17630 1) Office negotiating agreement. Cut off files
annually.
Destroy
when 5 yrs.
old. (GRS
1/29.a(1))

17640 2) Other offices. Destroy

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

w h e n
superseded
or obsolete.
(GRS 1/29.
a.(2)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-183
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XVII. PERSONNEL RECORDS

17650 b. Labor Arbitration General and
Case Files.

after Correspondence, forms, and background Cut off files
papers relating to labor arbitration resolution of
case. cases. Destroy 5 yrs. after final resolution of case.
(GRS 1/29.b)

Training Records

a. Training Aids.

17660 1) One copy of each manual, syllabus, Permanent.
Transfer textbook, and other training aid NARA in 5 yr.
blocks developed for Agency specific when most
recent training. record is 10 yrs. old.

17670 2) Training aids developed for Destroy when
administrative or facilitative superseded.
training (WANG, Mgt.).

b. General file of Agency-sponsored training.

17680 1) Correspondence, memoranda, agree- Cut off files
after ments, authorizations, reports, annually or
train- requirement reviews, plans, and completion of
when objectives relating to the estab- ing. Destroy
5 yrs. lishment and operation of training, 5 yrs. old or
courses and conferences. a f t e r
completion
of a specific
training
program.
(GRS 1/30.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

b.(1)

17690 2) Background and workpapers.

But off files
annually.
D e s t r o y
when 3 yrs.
old. (GRS
1/30.b.(2)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-185
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XVII. PERSONNEL RECORDS

17700 c. Employee training.

Correspondence, memoranda, reports
and other records relating to the
availability to training and employee
participation in training programs
sponsored by other government agencies
or non-government institutions.

Destroy
or
superseded or
whichever

Cut off files
annually.
when 5 yrs. old
when
obsolete,
is sooner.
(GRS 1/30.
c)

17710 d. Course Announcement Files.

Reference file of pamphlets, notices,
catalogs and other records which
provide information on courses or
programs offered by government or
non-government organizations.

super-
obsolete.

Destroy when
sed ed or
(GRS 1/30.d)

Grievance, Disciplinary and Adverse Action Files

17720 a. Grievance, Appeals Files (5 CFR 771).

Records originating in the review of
grievance and appeals raised by Agency
employees, except EEO complaints.

when
after

Cut off files
case is closed.
Destroy 5 yrs.
case is closed.
(GRS 1/31.a)

These case files include statements of
witnesses, reports of interviews and
hearings, examiner's findings and
recommendations, a copy of the original
decision, related correspondence and
exhibits, and records relating to a
reconsideration request.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-187
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XVII. PERSONNEL RECORDS

17730 b. Adverse Action Files (5 CFR 752).

when	Case files and related records created	Cut off files
	in reviewing an adverse action	case is closed.
after	(disciplinary or non-disciplinary	Destroy 5 yrs.
	removal, suspension, leave without	case is closed.
	pay, reduction-in-force) against an	(GRS 1/31.b)
	employee. The file includes a copy	
	of the proposed adverse action with	
	supporting papers; statements of	
	witnesses; employee's reply; hearing	
	notices, reports and decisions;	
	reversal of action; and appeal records,	
	EXCLUDING letters of reprimand.	

17740 Personal Injury Files

Destroy	Forms, reports, correspondence, and	Cut off files
	related medical and investigatory records	annually.
old.	relating to on-the-job injuries, whether	when 5 yrs.
	or not a claim for compensation was made,	(GRS 1.32)
	EXCLUDING copies files in the Official	
	Personnel Folder and copies submitted to	
	the Department of labor.	

17750 Merit Promotion Case Files

when	Records relating to the promotion of an	Cut off files
	individual that document qualification	case is closed.
after	standards, evaluation methods, selection	Destroy 2 yrs.
action	procedures, and evaluation of candidates,	the personnel
audited by	EXCLUDING any records that duplicate	has been
whichever is	information in the promotion plan, in the	O P M ,

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

1/33) Official Personnel Folders, or in other personnel records. sooner. (GRS

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-189
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XVIII. PROCUREMENT AND CONTRACTING RECORDS

This Chapter covers records pertaining to AID operations regarding procurement of commodities, services, and supplies for Agency assistance programs and for administrative needs.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED
	DISPOSITION	
18010	<u>Unique Procurement Files</u>	
	Procurement files (as in Item 18030- of files 18060 below) documenting the initiation M/SER/MO/PA/RM. and development of transactions that deviate from established precedents with respect to general Agency procurement programs.	Send report t o
	<u>Real Property Files</u>	
	(See Chapter <u>XVI GENERAL SUPPORT SERVICES RECORDS</u> , Item 16630)	
18020	<u>General Correspondence Files</u>	
	Correspondence files of operating procurement units concerning internal operations and administration matters not covered elsewhere in this schedule.	Cut off files annually. when 2 yrs. (GRS 3/3)
	<u>Routine Procurement Files</u>	
	Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in Items 18010 and 16630).	
	a. Procurement or purchase organization copy, and related papers.	

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-191

XVIII. PROCUREMENT AND CONTRACTING RECORDS

- | | | | |
|-------------------------------------|----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------|
| 18030
after

Hold | 1) | Transactions of \$25,000 and all

construction contracts exceeding

\$2,000. in office 3 yrs. then retire to WNRC. Destroy 6 yrs. and 3 months after final payment. (GRS 3/4.a) | Cut off files

final payment. |
| 18040
after

(Close file | 2) | Transactions of \$25,000 or less

and construction contracts under

\$2,000. at the end of the fiscal year, retain 3 yrs. and destroy, except that files on which actions are pending shall be brought forward to the next fiscal year's files for destruction there- with.) | Cut off files

payment. |
| 18050 | b. | Obligation copy. | D e s t r o y
when funds
a r e
obligated. |
| 18060
termin-

completion. | c. | Other copies of records described

above used by component elements

of a procurement office for administrative purposes. | Destroy upon

a t i o n o r |

Supply Management Files

Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature), exclusive of Department of Defense Reports reflecting procurement under exemptions authorized under Section 201(a) of the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 481).

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

XVIII. PROCUREMENT AND CONTRACTING RECORDS

18070 a. Copies received from other units for
Destroy internal purposes or for transmission
to staff agencies.

Cut off files
annually.

when 2 yrs.
old. (GRS
3/5.a)

18080 b. Copies in other reporting units,
and related work papers.

Cut off files
annually.
Destroy
when 1 year
old. (GRS
3/5.b)

**Solicited and Unsolicited Bids and
Proposals Files**

18090 a. Successful bids and proposals.

Destroy
with related
contract
case files
(see item
18030-180
60 above).
(GRS 3/6.a)

b. Solicited and unsolicited unsuccessful
bids and proposals.

18100 1) When files separately from
related contract case files.

Destroy when
contract is
completed.
(GRS 3/6.b.
(1)

18110 2) When files with contract case files.

Destroy
with related
contract
case files
(see items
18030 -
18060)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-193
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

a b o v e) .
(GRS 3/6.b.
(2)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

XVIII. PROCUREMENT AND CONTRACTING RECORDS

c. Cancelled Solicitations Files

18120	1) Formal solicitations of offers	Cut off files
after	to provide products or services	d a t e o f
cancellation.	(e.g., Invitations for Bids, Requests for Proposals, Request for Quotations) which were cancelled prior to award of a contract. The files include presolicitation documentation on the requirement, and offers which were opened prior to the cancellation, documentation on any government action up to the time of cancellation, and evidence of the cancellation.	(GRS 3/6.c.(1))
18130	2) Unopened Bids.	Return to bidder. (G R S 3/6.c.(2))
18140	<u>Telephone Records</u>	
	Telephone statements and toll slips.	Destroy 3 yrs. after period covered by related account. (GRS 3/11)
18150	<u>Contractors' Payroll Files</u>	
	Contractors' payrolls (construction contracts) submitted in accordance with	Cut off files annually.
Destroy	Labor Department regulations, with	3 yrs. after date
of	related certifications, anti-kickback	completion of
contract		

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-195
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

affidavits, and other related papers.

u n l e s s
c o n t r a c t
p e r -
formance is
subject of
enforcement
action on
such date.
(GRS 3/12)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

XVIII. PROCUREMENT AND CONTRACTING RECORDS

18160 Tax Exemption Files

Tax exemption certificates and related papers.

Destroy 3
yrs. after
p e r i o d
covered by
r e l a t e d
a c c o u n t .
(GRS 3/13)

18170 Contractor's Statement of Contingent or Other Fees

Standard Form 119, Contractor's Statement
super-
of Contingent or Other Fees, or statement
obsolete, or no
in lieu of the form, filed separately
which-
from the contract case file and maintained
for enforcement or report purposes.

Destroy when

s e d e d ,

longer needed,

ever is sooner.
(GRS 3/20)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-197
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XIX. SECURITY AND INSPECTOR GENERAL RECORDS

The records described in this Chapter pertain to security and protective services created a) to control and protect classified information and government facilities from unauthorized entry, sabotage or loss and b) to determine the future and loyalty of individuals employed by the government; and records accumulated by the Inspector General's Office pertaining to inspections, investigations and audits performed to ensure Agency-wide compliance with Federal law and regulations and Agency regulations; to reduce waste and fraud and to improve Agency operations.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED
	<u>Security Files</u>	
19010	<u>Identification Unit Files</u>	
IDs are after	These files contain Agency Employee ID photos and cards. The cards are renewed and new photos made periodically (5 years).	Destroy when renewed or termination o f employee, whichever is sooner.
	<u>Personnel Security Clearance Files</u>	
	Personnel security clearance case files and related indexes maintained by the personnel security office of the employing agency.	
19020 death separa- of not later con-	a. Case files documenting the processing of investigations on employees or applicants for employment; whether or not a security clearance is granted, and other persons, such as those performing work for the Agency under contract, who require an approval	Destroy upon notification of or not later than 5 yrs. after tion or transfer employee or than 5 yrs. after

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

relationship	before having access to Government	t r a c t
whichever is	facilities or to sensitive data.	e x p i r e s ,
	These files include questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of the investigation and the status of the clearance, exclusive of copies of investigative reports furnished by the investigation agency.	applicable. (GRS 18/23a).

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

no
longer needed, which-
(GRS

action or when
ever is sooner.
23/25.b

Contractor Security Clearance Files

Files of institutions and organizations performing work for the Agency, under contract, which require an approval before having access to government facilities or to sensitive data.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-201
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XIX SECURITY AND INSPECTOR GENERAL RECORDS

19080 a. University Contracts Files

after relationship Contract folders containing records of release information (review of personnel), resumes, record check requests, name check requests, requests for approval for building passes and other related papers.

Destroy 5 yrs.
c o n t r a c t
expires.

19090 b. Firms and Organizations

after relationship Files contain: Security investigative reports, credit reports, Dunn & Bradstreet reports, letters, memoranda, name check requests, records checks, request for clearance and other related documents.

Destroy 5 yrs.
c o n t r a c t
expires.

19100 Investigators' Working Files

no longer reference. These files are used as reference material by the investigators in preparation of cases. Files may contain extra copies of memos, letters, drafts, reports, telegrams, and other personal notes. The official documentation is maintained in the Office of Security official files.

Destroy when
needed for
(non-record)

Investigations, Inspections and Audit Files

19110 Official IG/II Case Files

after Hold This series documents the official inspection and investigation cases of the Office of Investigations and

Cut off file
case is closed.
in office space

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

for	Inspections. The files contain reports	2 yrs., then
retire to	of investigations and inspections	W N R C .
Destroy when	including violations of Title 18 and or other criminal or civil matters affecting the United States, possible violations of AID regulations, and other related documents.	15 yrs. old. (GRS 25/3.b)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-203
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XIX SECURITY AND INSPECTOR GENERAL RECORDS

19120 **Audit Reports File**

The series consists of individual audit case files which are filed by unique audit sequence numbers. The case files consist of: the audit report, correspondence, memoranda, audit recommendations, and responses thereto. Destroy when 6 yrs. old. (GRS 25/4)

with
recommendations.
year, then
WNRC.

Close file after compliance

Hold for 1
retire to

19130 **Audit Recommendation Files**

This series is a follow up system on outstanding replies to audit reports and Recommendations:
is used to assure appropriate implementation of recommendations. The series contains both open and closed recommendation files. b. Closed

Destroy
old.

a. Open

Close file upon compliance.
when 5 yrs.

Recommendations:
Destroy when 5 yrs. old.

19140 **Inspectors Working Files**

This series covers reference material used by the Inspectors in conducting investigation and inspections. The official case files are maintained by the IG/II file room.

no longer
reference.

Destroy when
needed for
(non-record)

19150 **Program Subject Files**

Subjects pertaining to AID program

Cut off at end

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

of
and/or functions for which the office
fiscal year.
Destroy
exists.
when 5 yrs.
o l d .
(NC1-286-
85-7)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-205
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XX. SECURITY AND INSPECTOR GENERAL RECORDS

This Chapter covers records pertaining to the movement of goods and persons under Government orders. The recordkeeping involved in the movement centers around bills of lading, transportation requests, vouchers, and associated records, including those prescribed in Title 5 of the General Accounting Office Policy and Procedures Manual. Copies of some records used to support payments become part of the accountable officers' accounts, or are accounting posting media. Their disposition may be covered by items in Chapter XV. FISCAL MANAGEMENT FILES.

ITEM NO. DISPOSITION	DESCRIPTION OF RECORDS	AUTHORIZED
	<u>Freight Files</u>	
	Records relating to freight consisting of export certificates, demurrage card record books, shipping documents pertinent of freight classification, memorandum copies of Government or commercial bills of lading, shortage and demurrage reports, and all supporting documents; and including records relating to the shipment of household goods.	
20010 after	a. Issuing office memorandum copies other than those identified in item 20040.	Cut off files period covered by account. Destroy 3 yrs. after the period of the account. (GRS 9/1.a)
20020	b. All other copies.	Cut off files annually. Destroy when 1 year old. (GRS 9/1.b)
20030	c. Registers and control records other than those identified in item 20040.	Cut off files annually.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Destroy
when 3 yrs.
old. (GRS
9/1.c)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-207
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XX. SECURITY AND INSPECTOR GENERAL RECORDS

20040	d.	Records, including registers and control reports, on international shipments of household goods moved by freight forwarders.	Cut off files after period by account. 6 yrs. after the period of the account. (GRS 9/1.d)
20050		<u>Lost or Damaged Shipments Files</u>	
		Schedules of valuables shipped, correspondence, memoranda, reports, and other records relating to the administration of the Government Losses in Shipment Act.	Cut off files annually. when 3 yrs. (GRS 9/2)
		<u>Passenger Transportation Files</u>	
		Memorandum copies of vouchers (SF 1113A), memorandum copies of transportation requests (SF 1169), travel authorizations, transportation request registers, and all supporting papers.	
20060	a.	Issuing office memorandum copy.	Cut off files annually. Destroy when 3 yrs. old. (GRS 9/3.a)
20070	b.	Obligation copy.	Destroy when funds are obligated. (GRS 9/3.b)
20080	c.	Unused ticket redemption forms, such	Destroy when

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

no longer
as SF 1170. needed for administrative use. (GRS 9/3.c)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-209
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

XX. SECURITY AND INSPECTOR GENERAL RECORDS

Passenger Reimbursement Files

Records relating to reimbursing individuals, such as travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting papers documenting official travel by officers, employees, dependents, or others authorized by law to travel.

- | | | |
|-------|----------------------------------------|--------------------------------------------------------------------------------|
| 20090 | a. Travel administrative office files. | Cut off files annually.
D e s t r o y
when 3 yrs.
old. (GRS
9/4.a) |
| 20100 | b. Obligation copies. | D e s t r o y
when funds
a r e
obligated.
(GRS 9/4.b) |

General Travel and Transportation Files

- | | | |
|-----------------|---------------------------------------------------------------------------|-----------------------------------------------------------------------|
| 20110 | a. Correspondence, forms, and related records pertaining to Agency travel | Cut off files annually. |
| Destroy
old. | and transportation functions, not covered elsewhere in this schedule. | when 2 yrs.

(GRS 9/5.a) |
| 20120 | b. Accountability records. | Destroy 1
year after
all entries
are cleared.
(GRS 9/5.b) |

XXI. EUROPE AND NEW INDEPENDENT STATE RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
-----------------	-------------------------------	-------------------------------

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

* 30010 Administrative Files

This series documents the daily administrative needs and functions of the office. The series consists of files covering such subject matters as: general administrative matters, budget planning and approvals, funds accounting and general audit instructions, routine housekeeping and office supply needs, personnel information, procurement and contracting instructions and travel guidance. The files contain incoming and outgoing correspondence (letters, memo, cables, etc.) notices, forms, reports.

Cutoff at end of fiscal year of creation. Hold in active office space for 1 year after cutoff, then retire to WNRC. Destroy when 3 years old.

*30020 Program Files

This series consists of technical subjects. Files contain documents relating to U.S. economic assistance programs within Europe and the New Independent States regions, including those being implemented by other U.S. Government Agencies with USAID financing. Including program documentation, goals, strategies, and objectives, assessments, tracking of the status of obligations, analysis reports. Correspondence consists of incoming and outgoing cables, reports, letters, memos, notices, etc.

Permanent. Cutoff at the end of fiscal year of creation. Hold in active office space for two years after cutoff, then, retire to WNRC. Transfer to National Archives when 10 years old in 5 years block.

*30030 Policy Files

This series consist of letters, memos, directives on U.S. Economic Assistance policy within the Europe and the New Independent States Regions. Including Briefing, follow-up reports, Congressional, General Counsel(GC)Rulings, etc.

Permanent: Cutoff at the end of fiscal year of creation. Hold in active office for 5 years, then transfer to WNRC. Transfer to National Archives when 10 years in 5 years block.

U.S. Economic Assistance Project

*30040 a.Core Project Documents

Consists of Project Decision Paper, or PAAD, Interagency Coordinating Committee Minutes, Project Authorization Memorandum, and any waivers and correspondence addressed.

Permanent: Cutoff after Project Activity Completion (PACD) and transfer to WNRC. Offer to National Archives when 10 years old in 5 years block.

*30050 b. Funding Documents & Funding Mechanism

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-211
--------------------	------------------------------	------------------------------------	--------------------

Implementation Agent Files: Records consist of project implementation orders such as PIO/Ts, PIO/Cs, PIO/Ps or other usual project funding reservation documents with the interagency agreements. Also, funding documents and implementing agent are a combination of files following the core project documents under each project. The funding mechanism is grant, contract, IQC, IAA, transfer or equivalent. The implementing agent is grantee, contractor, cooperating agency, and equivalent. It includes all waivers, progress reports, and cables or other correspondence concerned solely with the particular funding activity.

Cutoff files after PACD, hold in office for 2 years, then retire to WNRC. Destroy 6 years after termination of project.

*30060 c. Reports/Implementation

Reviews/Audits/Evaluations: Records consist of project monitoring, review, and evaluation documents. Others include copies of press releases, news accounts, or articles concerning the project.

Permanent: Cutoff 1 year after Project Activity Completion (PACD) and transfer to WNRC. Offer to National Archives when 10 years old in 5 year blocks.

ENI Overseas Missions

These records related to project assistance in Europe and the Independent States. Since this function is centralized in the ENI Bureau, USAID/Washington, most of the records described below are only record copies that are maintained in USAID/W and therefore are held in the offices.

*30070 Technical Assistance Project Files

Copies of basic project documents and related correspondence is pertaining to projects for which assistance and project coordination only was provided.

Cutoff when project is completed. Destroy after project is completed.

Overseas ENI Missions Economic Assistance Project

Copies of basic project documents and related correspondence pertaining to projects designed, developed, and managed in ENI Regional Missions. The official files station for these records is in Headquarter, Washington. All original documents should be forwarded to ENI in Washington.

*30080 a. Core Project Documents: Consists of Project Decision, Interagency or Coordinating Paper, Committee Minutes, Project Authorization Memorandum, and any waivers and correspondence addressed to the overall project.

Cutoff when project is closed. Destroy 1 year after project completion. For those records which are known to be duplicative of records in ENI in Washington,

b. Funding Documents & Funding Mechanism:
Implementation Agent Files: Records consist of

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

project implementation order such records as PIO/Ts, PIO/Cs, PIO/Ps or other usual project funding reservation document with the attachment of interagency agreements. Also, funding documents and implementing agent are a combination of files following the core project documents under each project. The funding mechanism is grant, IQC, IAA, transfer, or equivalent. The implementing agent is grantee, contractor, cooperating agency, and equivalent. It includes all waivers, progress reports, and cables or other correspondence concerned solely with files for transfer to particular funding activity.

c. Reports/Implementation Reviews/Audits/Evaluations: Records consist of project monitoring, review, and evaluation documents. Others include copies of any press releases, news accounts, or articles concerning the project.

transfer remainder of the project files to the ENI in Washington 1 year after project is completed. ENI Bureau will incorporate in office ENI/PD files for transfer to WNRC.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-213
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

APPENDIX 6A

INDEX TO AID/W SCHEDULE

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

INDEX

RECORDS DISPOSITION SCHEDULE - AID/W

PAGE NO. IN APP. 6A

-A-

Accountable Officer Account Files.....	58
Administrative Files, Foreign Disaster Assistance.....	46
Administrative Files, FOIA.....	17
Administrative Files, General.....	1
Administrative Management Records.....	51
Administrator and Assistant Administrator, Records.....	13
Advisory Committee on Voluntary Foreign Aid Records.....	49
Agricultural Commodity Files.....	24
Agricultural Project Case Files, BIFAD.....	50
Appeals Files, FOIA.....	15
Audit Recommendation Files.....	101
Audit Report Files.....	12
Audio Visual Files.....	17
Awards, Employee.....	83

-B-

Bilateral Agreements, Title II Files.....	23
Biographical Files on Senior AID Officials.....	21

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-215
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

PAGE NO. IN
APP. 6A

Board for International Food and Agricultural Development
(BIFAD) Records.....50

Bond Registration Files.....65

Briefing Files, Geographic Bureau.....26

Budget Records.....6

Budget Submission Files, Annual.....6

Building Services Records.....70
 occupational safety.....71
 protection.....70
 services.....70

-C-

Cable or Telegram Files.....2

Certificate of Settlement Files.....60

Chronological Files.....1, 13

Claims Files.....62

Color Slides.....19

Communication Center, AID/W.....2

Company Correspondence Files, PRE.....31

Congressional Correspondence Files.....27

Congressional Presentation.....6, 25

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

PAGE NO. IN
APP. 6A

Contractor Payroll Files.....	97
Control Files, FOIA.....	16
Correspondence Files.....	5, 13
chron.....	2
general subject.....	5
procurement and contract.....	94
program.....	5
Correspondence Files, Personnel Records.....	80, 85
Country Development Strategy Statement (CDSS) File.....	26

-D-

Development Assistance Project File	
original silver master microfilm and silver duplicate.....	8
computerized index to project.....	8
Directives.....	51
Disclosure Reports, Financial.....	28
Donor Coordination Files.....	32

-E-

Emergency Planning	
administrative correspondence files.....	56
case files.....	56
reports.....	57
Employee Awards Files.....	83
Employee Performance File System Records.....	86
Employee Record Cards.....	81
Employee Service Files.....	63
Employee Training.....	92

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-217
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

PAGE NO. IN
APP. 6A

Employment Applications.....	85
Equal Employment Opportunity Records.....	88
Equipment and Supplies Records.....	72
Expenditure Accounting Files.....	62
External and Public Affairs Records.....	14

-F-

Feasibility Studies.....	9, 56
Film Strips.....	20
Financial Disclosure Reports.....	28
Financial Files, General--Geographic Bureaus.....	25
Fiscal Management Records.....	58
Fiscal Schedule Files.....	67
Flexitime Attendance Files.....	64
FOIA.....	17
administrative files.....	17
appeals files.....	15
control files.....	16
reports files.....	16
request files.....	14
Food for Peace and Voluntary Assistance (FVA) Records.....	22
Food for Peace Files.....	23
Foreign Disaster Assistance Records.....	46
Forms Files.....	52
Freedom of Information Act (FOIA).....	14
(see FOIA)	

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-219
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

PAGE NO. IN
APP. 6A

Freight Files.....102

FVA Grant Files.....22

-G-

GAO Exception Files.....60

General Administrative Files.....1

General Subject Correspondence Files, Administrator.....13

General Support Services Records.....70

Geographic Bureau General Records.....25

Grant Application Files, Science Advisor.....35

Grant Files, FVA.....22

Grievance, Disciplinary and Adverse Action Files.....92

-H-

Housing and Urban Development Project Files.....31

Housing Guaranty Programs.....31

shelter activities.....31

-I-

Identification Unit Files.....98

Incentive Awards Program Reports.....84

Inquiries, Public.....4, 14

Inspectors' Working Files.....101

-M-

Management Improvement Reports

53

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-221
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Mandatory Classification Review (MCR) Files

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

	<u>PAGE NO. IN</u> <u>APP. 6A</u>
Medical Case Files	86
Meeting Files, BIFAD	50
Merit Promotion Case Files	93
Motion Pictures	18
Motor Pool Operation Files	74
Multilateral Development Banks Files	33

-N-

National Advisory Council on International Monetary and Financial Policies Files	33
News and Media Relations Files	17
Non-Project Assistance Records	10
Notices, Quasi-official	4
Notification of Personnel Actions	84

-O-

Ocean Freight Files	22
Official Administrative Files	1
Organizational Files	55
Ocean Freight Files.....	22
Official Administrative Files.....	1
Organizational Files.....	55

-P-

Participant Training.....	41-45
Participant Training Directories.....	43

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-223
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

PAGE NO. IN
APP. 6A

Pay Case Files, Individual.....	65
Passenger Transportation Files.....	103
Payment Files.....	68
Payroll Correspondence Files.....	64
Payroll Files.....	66
Personal Injury Files.....	93
Personnel Correspondence Files.....	80
Personnel Counseling Records.....	90
Personnel Files.....	79
Personnel Records.....	79-93
Personnel Security Clearance Files.....	98
Photography, Still.....	19
Policy Files, Foreign Disaster Assistance.....	47
Position Classification Files.....	81
Position Descriptions.....	82
Project Files, PRE.....	30
Private and Voluntary Cooperation Files.....	22
Private Enterprise (PRE) Records.....	30
Procurement and Contracting Records.....	94
Procurement Files, Non-Project Programs.....	10
Procurement Files, Routine.....	94
Program Correspondence Files, Country Desk.....	25

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-225
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

PAGE NO. IN
APP. 6A

Program and Policy Coordination Records.....	32
Program Evaluation Files.....	33
Program Files, Foreign Disaster Assistance.....	46
Program (Non-Project) Procurement Files.....	10
Program Subject Files, Security and IG.....	101
Project Assistance Records.....	7
bureau project evaluation files.....	9
foreign disaster.....	47
status/tracking system reporting.....	9
Project Control Files.....	53
Project Evaluation Summaries (PES) Files.....	34
Project Plan and Engineering Files.....	9
Protection, Building.....	70
Public Relations Files.....	21
Public Inquiries Files.....	14
Publications Files.....	12, 52

-R-

Real Property Files.....	78
Records Disposition Files.....	52
Records Holding Files.....	53
Records Management Files.....	54
Report Files, FOIA.....	16
Reports Control Files.....	54

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-227
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

PAGE NO. IN
APP. 6A

Reproduction and Distribution Services Files.....	75
Requests for Information or Publications.....	4
Research Advisory Committee (RAC) Files.....	38
Research Studies Files.....	11
Resource Support Services Agreement Files, S & T.....	39
RSSA.....	39
-S-	
S & T Project Files.....	36
S & T Records.....	36
Schedule of Daily Activities.....	10, 13
Science Advisor Records.....	35
Science and Technology Records.....	36
Sector Council Files.....	37
Security and Inspector General Records.....	98
Security Files	
contractor clearance.....	99
identification.....	98
personnel clearance.....	98
Security Violation Files.....	99
Shelter Activities, PRE.....	31
Solicited and Unsolicited Bids and Proposal Files.....	96
Space Files.....	76
Standard of Conduct Files.....	90

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-229
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

PAGE NO. IN
APP. 6A

Status Report on Loans, Private Sector.....	30
Still Photography.....	11
Subject Correspondence Files.....	5, 13
Supply Management Files.....	95
Surety Bond Files, Federal Personnel.....	61

-T-

Tax Exemption Files.....	97
Technical Project Feasibility Studies.....	9
Technical Reference Files.....	4
Telegram Files.....	2
Telephone Records.....	97
Telephone Use Records.....	71
Title I & III Voluntary Agency Agreement Files.....	23
Title II Bilateral Agreements.....	23
Training Conference Materials, Participant Training.....	44
Training Records.....	91
Transitory Files.....	4
Transportation Voucher Files.....	62
Travel and Transportation Records.....	102
Travel Files, Employee.....	3

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-231
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

PAGE NO. IN
APP. 6A

-U-

Unsolicited Project Proposals, S & T.....36

-V-

Video Tapes, Original.....17

Voluntary Agency Ocean Transportation Files.....24

Voluntary Foreign Aid Advisory Committee Records.....49

-W-

Wage Survey Files.....68

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Appendix 6B

INTRODUCTION

RECORDS DISPOSITION SCHEDULE - U.S. AID

A. Purpose: The Records Disposition Schedule contained in this appendix constitutes the sole authority for the retention and disposition of records at U.S. AID Missions, except in emergencies (see Paragraph I). Guidelines and procedures for implementing a records disposition program are given in Chapter 6, Handbook 21, Part II. Some information is repeated below for the convenience of the schedule user. This schedule has been approved by the National Archives and Records Administration under Job # NC1 286-85-4.

B. Application of Schedule: AID Principal Officers are responsible for the proper application of disposal authorizations to records in their custody. Any questions concerning a disposal authorization or its application should be referred to the Records Management Branch AID/W, M/SER/MO/PA/RM.

(1) Scope: The disposal authorizations contained in this schedule apply to records of the type described regardless of the physical location at the U.S. AID, e.g., central files; officially decentralized files; or working files. The authorizations apply to both classified and unclassified records unless otherwise specified. Care should be exercised in applying the Schedule. If the U.S. AID finds it necessary or desirable to retain records for either a shorter or longer period of time than that prescribed in the Schedule, it must seek authorization from the Records Management Branch. Such requests should provide a detailed justification for the exception.

(2) Exceptions: Records pertaining to claims and demands by the Government of the United States or against it, or to any accounts in which the Government of the United States is concerned, either as debtor or creditor, shall not be destroyed under any disposal authorizations until such claims, demands, or accounts have been settled and adjusted in the General Accounting Office, except upon written approval of the Comptroller General of the United States. Records having value in connection with any pending or prospective litigation must be retained until such litigation has been terminated. U.S. AIDs receiving requests for records or information therefrom in connection with litigation shall immediately inform the Office of the General Counsel. Posts are responsible for insuring against inadvertent destruction of any records of the types described above by segregating them from other files which may be destroyed under normal disposal procedures.

C. Distribution: Distribution of the disposition schedule should be made so that all personnel having responsibility for records management or operations will have a copy or ready access thereto. It is the responsibility of the Records Management Liaison Officer to provide necessary distribution of the Records Disposition Schedule.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-233
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

D. Arrangement: the Schedule has been developed for the major functional records groups and is arranged accordingly. In several instances the same disposal authorization has been listed under two or more functional headings because of organizational and records maintenance variations at different U.S. AIDs. Any record not authorized for disposal should be brought to the attention of the Records Management Branch.

E. Description of Records: Each type of record included in the disposition schedule is described as precisely as possible to permit easy identification and to eliminate the need for paper-by-paper screening.

F. Disposition Instructions: The disposition instructions for the majority of items listed in the Schedule provides for destruction after a specified period of time. The retention period given is to be applied regardless of whether the files is blocked by fiscal or calendar year. When transfer or retirement is specified, the procedures specified in Handbook 21, Part II are to be followed.

G. Method of Destruction: All classified and administratively controlled records authorized for destruction shall be destroyed in accordance with the provisions of Handbook 6. For the purpose of destruction, certain types of unclassified records such as personnel, or records containing detailed biographical data or any other records that might prove embarrassing or detrimental to perations if they were to fall into unauthorized hands shall also be treated as classified. The security regulations themselves to not constitute authority for the destruction of records, but only prescribe the methods by which destruction shall be accomplished. Unclassified material authorized for destruction, with the exceptions indicated above, may be destroyed, sold as waste paper, or otherwise disposed of in a manner consistent with local practices and security requirements.

H. Record of Destruction: A record of the type and the volume of material destroyed should be maintained by personnel responsible for the records. A log showing the record series title (shown in the Schedule) of the records destroyed, the inclusive dates and the volume will suffice.

I. Emergency Destruction: Posts are authorized to destroy records in the event of extreme emergency or evidence of the possible development of such an emergency, in accordance with instructions governing emergencies.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

39	Property Records
42	
40	Travel and Transportation Records
45	

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-237
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

RECORDS DISPOSITION SCHEDULE - U.S. AID

CHAPTER 25

GENERAL RECORDS

These are records common to several or all overseas offices.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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General Correspondence Files
(Centralized or Decentralized)

Letters, cables, messages, memoranda, economic or other studies and reports, forms and other data documenting and/or implementing plans, policies, procedures, decisions and accomplishments pertaining to AID programs and staff activities. The documents described in a) and b) below are arranged by subject (i.e., the thought conveyed in the document) using the agency file classification system as contained in AID Handbook 21, Part II.

25010 a. Office Program Subject Files

<p>Subjects pertaining to AID programs and/or functions for which the office exists.</p>	<p>Permanent. Cut off files annually. When 2 yrs. old transfer to AID/W and retire to WRNC. Transfer to NARA in 5 yr. blocks when most recent records are 20 yrs. old.</p>
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25020 b. Office Administrative Subject Files

<p>Subjects pertaining to routine internal management or general administration (budget, personnel, procurement, etc.) rather than the function for which the office exists.</p>	<p>Cut off files annually. Destroy when 2 yrs. old, or sooner if purpose has been served.</p>
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Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

CHAPTER 25 GENERAL RECORDS

25030 c. Country Files

Documents of a general nature pertaining to various aspects of the foreign aid assistance program in various countries, arranged for convenience of reference alphabetically by the names of the various countries. Cut off files annually. Destroy when 3 yrs. old.

25040 Conference, Meetings and Seminar Files

These files consist of meeting agendas, minutes, statement papers, reports, and correspondence pertaining to international meetings at which U.S. AID staff is represented. Arranged chronologically and thereunder by subject of meeting. (Volume of records accumulated annually negligible. Volume of records accumulated to date unknown.) Permanent. Cut off files annually. When 2 yrs. old transfer to NARA in 5 yr. blocks when most recent records are 20 yrs. old.

Reading, Chronological, and Cable Files

25050 a. Extra copies of correspondence prepared Cut off annually. and maintained by the originating office, Destroy when 1 yrs. old or when reference value has been exhausted, whichever is sooner. (NC1-286-82-2) used solely as a reading or reference file for the convenience of personnel.

25060 b. Extra copies of incoming and outgoing Destroy when 1 yr. old, cables arranged chronologically. or when reference value has ceased, whichever is sooner.

NOTE: The authorized disposition for Action copies of correspondence and cables will be found in the applicable Schedule items describing the official records.

25070 Transitory Files

Papers of short term interest which have no documentary or evidential value and normally Destroy when 90 days old or sooner if purpose has

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-239
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

need not be kept more than 90 days. Examples of transitory correspondence are shown below:

been served. (GRS 23/4)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Chapter 25 GENERAL RECORDS

a) Request for Information or Publications

Routine requests for information or publications which require no administrative action, no policy decisions, and no special compilations or research for reply, such as requests for publications or other printed material.

b) Letters of Transmittal

Letters of transmittal that do not add any information to that contained in the transmitted material.

c) Quasi-Official Notices

Memoranda and other papers that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar papers.

Reference Files

25080

a) Staff Working Files

Reference files maintained for convenience by individual staff members. Includes extra copies of project material and other records maintained in official AID files.

Destroy when no longer needed for reference purposes. (GRS 23/6)

25090

b) Reference Publication Files

Extra copies of AID internal and/or external directives, and publications issued by other Government agencies and non-governmental organizations maintained for reference within an office.

Destroy when superseded, obsolete, or no longer needed for reference purposes.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-241
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

CHAPTER 26

PROJECT ASSISTANCE RECORDS

These records relate to the AID Development Assistance Program. Assistance is provided in the form of loans and grants for improving the quality of life of people in less developed countries through programs in agriculture, rural development, nutrition, family planning, health education and human resources, energy, private industry development, and science and technology. See Chapter 29 of this Appendix for Housing and Urban Development Project Files.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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Project Files

Case files on technical and capital assistance projects, consisting of studies, surveys, Project Identification Documents, Project Papers, loan and grant agreements and amendments, Project Implementation Orders, Project Implementation Letters, contracts, reports, and other related records and correspondence.

26010	a) Loan Files	Cut off on project activity completion date. Destroy 3 years after project activity completion date.
26020	b) Grant Files	(same as (a) above)

Project Plan Files

26030	Copies of engineering plans relating to individual projects.	Destroy in accordance with Item 26010 above.
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Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-243
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Chapter 26 PROJECT ASSISTANCE RECORDS

Participant Training Files

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|-------|----|-------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 26040 | a) | Participant trainee case files, containing PIO/Ps, biodata, training plans, budgets, notice of return, course records, report, etc. | Cut off on project activity completion date. Transfer pertinent summary data to card files or computer tapes as appropriate. Destroy 3 yrs. after project activity completion date. (N1-286-89-1) |
| 26050 | b) | Printouts containing summary data for each trainee or training project. | Destroy upon termination of overseas office or when no longer needed, whichever is sooner. |
| 26060 | c) | Computer tapes containing summary data for trainees or training project. | Destroy upon termination of overseas office or when no longer needed, whichever is sooner. |
| 26070 | d) | Card files and other summary data for each trainee or training project (except computer tapes and printouts and reports described above). | Destroy upon termination of overseas office or when data is transferred to computer tapes at overseas offices, or when no longer needed, whichever is sooner. |

Project Reports Files

26080 Project Review Summary Reports

Copies of summary progress reports and related correspondence on the implementation of all projects. Included in this item are similar types of recurring	Cut off annually. Destroy when 2 years old.
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Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

reports on project implementation used
at the discretion of individual missions.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

CHAPTER 27

NON-PROJECT ASSISTANCE RECORDS

These records relate to Economic Support Fund activities and include grants and loans for program assistance in selected countries of special political interest to the United States. Recipients purchase goods and services from U.S. institutions and firms under PL 480 Title I and the Commodity Import Program. Cash transfers and sector assistance are also provided as non-project assistance.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
27010	<u>Program (nonproject) Procurement File</u> Case files of grant and loan agreements, implementation letters, letters of commitment and related documents and correspondence pertaining to program (e.g., Commodity Import Program) transactions.	Cut off at end of FY in which case is closed. Hold at post 2 yrs. then transfer to AID/W and retire to WNRC. Destroy when 10 years old.
	<u>Commodity Import Programs (CIP) Files</u>	
27020	a) <u>CIP Financial Files</u> Conformed copies of agreements, letters of commitment (L/C) and related correspondence and other financial documentation pertaining to individual agreements (Grants/Loans) under the CI Program.	Destroy 10 years after L/C is issued.
27030	b) <u>Statistical Reports Files</u> Copies of quarterly/monthly reports containing basic financial information regarding the current status of CIP transactions.	Cut off annually. Destroy when 5 years old.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-249
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

CHAPTER 28

FOOD FOR PEACE RECORDS

These records relate to the implementation of the Food for Peace program under Titles I, II and III of Public Law 480.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
28010	<u>General Files</u> Correspondence, reports and other documentation pertaining to the implementation of the FFP Program including vessel movement records, evacuation reports, vessel claims, etc.	Cut off annually. Destroy when 6 years old.
28020	<u>Voluntary Agency Program (Title II) Files</u> Correspondence, reports and other records regarding donation of agricultural commodities to needy people, refugee and child feeding, or extraordinary relief needs conducted by nonprofit voluntary agencies registered with the Committee on Voluntary Foreign Aid.	Cut off files annually. Destroy when 6 years old.
28030	<u>Famine Relief and other Assistance Files</u> Correspondence, reports and other records relating to grants of surplus food under Title II, famine relief and other assistance direct to host governments.	Cut off files annually. Destroy when 6 years old.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Chapter 28 FOOD FOR PEACE RECORDS

28040 Title I and III Implementation and
Evaluation Files

Correspondence and reports pertaining to the FFP Office's Implementation of the provisions of Titles I and III and program evaluations reports.	<p>Cut off files annually. Destroy when 6 years old.</p>
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AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-251
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

CHAPTER 29

HOUSING AND URBAN DEVELOPMENT RECORDS

These records relate to project assistance to countries in the area of housing and urban development. Since this function is centralized in the Housing Office, AID, Washington, most of the records described below are only administrative copies of the record copies that are maintained in Washington and therefore are held in the overseas offices a relatively short period of time.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED</u>
<u>DISPOSITION</u>		

29010	<u>Housing and Urban Development Project Files</u>
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Copies of guaranty authorizations, guaranty and loan agreements, implementation agreements, cost schedules, reports, financial data, request for disbursement and disbursement authorizations, progress reports, evaluation reports, technical data, and related documents and correspondence.	Cut off when project is completed. Destroy 1 yr. after project completion those records which are known to be duplicative of records in the Housing office in Washington. Transfer the remainder of the project file to the Housing office Washington (Code PRE/H) 1 yr. after project is completed. PRE/H will incorporate in official AID/W Housing files for transfer to Federal Records Center.
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Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

CHAPTER 30

ECONOMIC DEVELOPMENT SERVICES RECORDS

These records relate to regional areas' involvement in the form of assistance and coordination in economic development in smaller countries where AID has only small staffs to administer the foreign assistance programs. Records disposition instructions for project records for which Regional Economic Services Offices (REDSO) have direct project management responsibility are found in Chapter 26, Project Assistance Records, Items 26010 and 26020, of this Schedule.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
30010	<u>Regional Technical Assistance Project Files</u> Copies of basic project documents and related correspondence pertaining to projects for which assistance and project coordination only was provided.	Cut off when project is completed. Destroy 1 yr. after project is completed.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-253
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

CHAPTER 31

ADMINISTRATIVE MANAGEMENT RECORDS

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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Directives Files

Formal directives distributed as Mission Orders, Notices, Circulars, or in loose-leaf manual form announcing changes in the Mission's policies and procedures.

31010	a) Mission directives related to Mission's program functions. Arranged chronologically and thereunder by directive number. (Volume per yr. approximately 5 cu. ft.)	Permanent. Cut off at end of FY. Transfer to NARA in 5 yr. blocks when the most recent records are 20 yrs. old.
31020	b) Mission directives related to routine administrative functions (e.g., payroll, procurement, personnel), and all Mission Notices and Circulars.	Destroy when superseded or obsolete.

Publications

Pamphlets, reports, leaflets, manuals, or other published or processed documents, or the last manuscript report if not published, which has been produced or financed by AID and is not included in other records elsewhere.

31030	a) Record copy.	Permanent. Transfer to AID/W and retire to WNRC. Transfer to NARA in 10 yr. blocks when most recent records are 10 yrs. old.
31040	b) Working papers and background materials.	See Item 31060.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Chapter 31 ADMINISTRATIVE MANAGEMENT RECORDS

31050 Administrative Management Project
Control Files

Memoranda, reports, and other records documenting assignments, progress, and completion of projects.

Destroy 1 year after the year in which the project is closed.

31060 Working Papers

Background records, such as studies, analyses, notes, drafts, and interim reports, used in development of final report or document.

Destroy 3 years after completion of report.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-255
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

CHAPTER 32

AUDIT, INVESTIGATION, AND INSPECTION RECORDS

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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32010	<u>Regional Inspection and Investigation Report Files</u>	
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<p>Case files on inspections and investigations of AID overseas activities consisting of reports and supporting papers.</p>	<p>One year after case is closed: (1) destroy duplicate copies of basic documents that are maintained in Washington; and (2) transfer original notes and case-related original records of evidence to the IG/II, AID/Washington.</p>
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Regional Audit Report Files

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|-------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|
| 32020 | a) Case files on internal audits made of overseas offices including audits of cooperative services and voluntary agency programs under Title III of PL 480. Files include copies of reports supporting papers and related correspondence. | Cut off file at end of FY after close of case. Destroy 8 yrs. after cutoff. (GRS 25/4) |
| 32030 | b) Audit work papers consisting of working files, the substance of which is contained in the official case files described in Item 32020 above. | Destroy 1 year after audit has been issued. |

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

CHAPTER 33

BUDGET RECORDS

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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33010 Budget Correspondence Files

Correspondence files in the office responsible for submitting the ABS to AID/W. Files pertain to routine administration, internal procedures, and other matters not covered elsewhere in this Schedule.

Destroy when 2 years old. (GRS 5/3)

Budget Records

33020

a) Mission's copy of Annual Budget Submission.

Destroy when 5 years old. (GRS 5/4)

33030

b) Working papers, cost statements, and data accumulated in the preparation of the Annual Budget Submission.

Destroy 1 year after the close of the fiscal year covered by the budget. (GRS 5/2b)

33040

Budget Report Files

Periodic reports on the status of appropriation accounts and apportionment.

Cut off at end of fiscal year. Destroy when 3 years old.

33050

Budget Apportionment Files

Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.

Cut off at end of fiscal year. Destroy when 2 years old. (GRS 5/6)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-257
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

CHAPTER 34

COMMUNICATIONS AND RECORDS MANAGEMENT

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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34010 Messenger Service Files

Daily Logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.	Destroy when 2 months old. (GRS 12/1)
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Postal Records

Post Office forms and supporting papers.

34020	a) Records relating to incoming or outgoing registered mail pouches, registered certified, insured and special delivery mail including receipts and return receipts.	Destroy when 1 year old. (GRS 12/5)
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34030	b) Application for postal registration and certificates of declared value of matter subject to postal surcharge.	Destroy when 1 year old. (GRS 12/5)
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Mail and Delivery Service Control File

34040	a) Records of receipt and routing of incoming and outgoing mail, and items handled by private delivery companies.	Destroy when 1 year old. (GRS 12/6)
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Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Chapter 34 COMMUNICATIONS AND RECORDS MANAGEMENT

34050	b)	Statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post or packages over 4 pounds).	Destroy when 6 months old.
34060	c)	Requisition for stamps (exclusive of copies used as supporting documents to payment vouchers).	Destroy when 6 months old.
34070	d)	Statistical reports and data relating to handling of mail and volume of work performed.	Destroy when 1 year old.
34080	e)	Records of and receipts for mail and packages received.	Destroy when 6 months old.
34090	f)	General files including correspondence, memoranda, directives, and guides relating to the administration of C&R operations.	Destroy when 1 year old, or when superseded or obsolete, whichever is applicable.
34100	g)	Locator cards, directories, indexes, and other records relating to mail delivery to individuals.	Destroy when superseded. Turn over to Embassy mail room upon termination of U.S. AID office.
34110	<u>Records Holdings Files</u>		
		Statistical reports of offices/holdings including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer.	Destroy when 1 year old. (GRS 16/6b)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-259
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Chapter 34 COMMUNICATIONS AND RECORDS MANAGEMENT

Records Management Files

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|-------|----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|
| 34120 | a) | Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this Schedule. | Destroy when 6 years old. (GRS 16/11) |
| 34130 | b) | Shelf lists of records retired to AID/W. | Forward to Bureau Executive Management Office upon termination of the USAID office. |

USAID COMMUNICATIONS AND RECORDS OFFICE

Telegram Files

Chronological files maintained by the USAID Communications and Records Office, consisting of copies of incoming and outgoing telegraphic correspondence. Files are normally arranged by serial number by point of origin and are kept, for the most part, as a source of easy reference.

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|-------|----|-------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 34140 | a) | Telegrams exchanged between AID/W headquarters and the USAID office. Copies of these telegrams can be located in the AID/W Telecommunications Branch. | Cut off at the end of the calendar year, retain in active office space. Destroy when 1 yr. old or sooner if no longer needed for reference. (NC1-286-82-2, Item 1B) |
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AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-261
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Chapter 34 COMMUNICATIONS AND RECORDS MANAGEMENT

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
34150	(b) Incoming telegrams received from other USAID offices.	Cut off at end of the calendar year. Destroy when 1 yr. old or sooner, if no longer needed for reference. (NC 1-286-86-82, Item 1B)
34160	(c) Outgoing telegrams exchange with other USAID offices. Washington is <u>not</u> an addressee.	Cut off at end of the calendar year. Retain in office space for 1 additional year, then transfer to AID/W and retire to WNRC. Destroy when 7 yrs. old. (NC 1-286-82-2, Item 1C, 2b)

General Correspondence Files

Chronological files maintained by the USAID Communications and Records Office consisting of letters, memoranda, and other nontelegraphic communications media. Files are normally maintained by date of issuance and are kept, for the most part, as "easy reference" files.

34170	(a) Master chronological file of correspondence, including exchanges with various offices of the government of the host country.	Cut off at the end of the fiscal year and retain in office space for 6 additional months. Transfer to local storage facilities for 18 months, then destroy. (NC 1-286-82-2, Item 2B)
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Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-263
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

CHAPTER 35

FINANCIAL MANAGEMENT RECORDS

ACCOUNTABLE OFFICERS' ACCOUNTS RECORDS

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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Accountable Officers' Files

35010	<p>a) Original or ribbon copy of accountable officers' accounts maintained in the agency for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and other schedules and vouchers or documents used as schedules or vouchers, exclusive of freight records and payroll records. These records document the basic financial transaction, money received and money paid out or deposited in the course of operation of the agency. All copies except the certified payment or collection copy, usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by succeeding items in this part of the Schedule.</p> <p>Site audit records include, but are not limited to, the Standard Forms and Optional Forms listed below.</p>	<p>Original paid vouchers and schedules are to be retained at post in an offsite repository that provides adequate safeguards against natural disaster and acts of aggression. Records shall be destroyed 6 years and 3 months after period covered by account. (GRS 6/1)</p>
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Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Chapter 35 FINANCIAL MANAGEMENT RECORDS

Also included are equivalent agency forms which document the basic financial transaction as described above.

SF 1034, Public Voucher for Purchases
and Services Other than Personal
SF 1080, Voucher for Transfer Between
Appropriations and/or Funds
SF 1081, Voucher and Schedule of With-
drawals and Credits.
SF 1096, Schedule of Voucher Deductions
SF 1098, Schedule of Cancelled Checks
SF 1113, Public Voucher for Transportation
Charges
SF 1166, Voucher and Schedule of Payments
SF 1190, Foreign Application, Grant and
Report
SF 1121, Statement of Transactions
According to Appropriation,
Funds, and Receipt Accounts
(Foreign Service Account)

35020	b)	<p>Memorandum or extra copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related papers not covered elsewhere in this part of the Schedule.</p>	<p>Destroy 3 years after the period of the account.</p>
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AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-265
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Chapter 35 FINANCIAL MANAGEMENT RECORDS

35030 Transportation Voucher Files

Vouchers identified by "T" prefixed to the voucher and schedule of payments number which involve both US and foreign tariff rates.

Cut off at end of FY in which payment is made. Hold files for 3 years or audit, whichever is earlier; then transfer to AID/W. Destroy 10 yrs. after final payment.

35040 GAO Exceptions Files

General Accounting Office notices of exceptions, such as Standard Form 1100 formal or informal, and related correspondence.

Destroy 1 year after exception has been reported as cleared by GAO (GRS 6/2)

35050 General Fund Files

Records relating to availability, collection, custody and deposit of funds including appropriation warrants and certificates of deposit (SF 215), other than those records covered by Items 35010, 35020, 35100, and 35150 of this Schedule.

Destroy when 3 years old. (GRS 6/4)

35060 Accounting Administrative Files

Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.

Destroy when 3 years old. (GRS 6/5)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Chapter 35 FINANCIAL MANAGEMENT RECORDS

Personnel Surety Bond Files

- | | | | |
|-------|-----|-----------------------------------------------------------------------|------------------------------------------------------------------------------------|
| | a) | Official copies of the bond and attached powers of attorney. | |
| 35070 | (1) | Bonds purchased before January 1, 1956. | Destroy 15 years after bond becomes inactive. (GRS 6/6) |
| 35080 | (2) | Bonds purchased after December 31, 1955. | Destroy 15 years after the end of the bond premium period. (GRS 6/6) |
| 35090 | b. | Other bond files, including other copies of bonds and related papers. | Destroy when bond becomes inactive or after the end of the bond premium. (GRS 6/6) |

EXPENDITURE ACCOUNTING RECORDS

35100 Expenditures Accounting General Correspondence and Subject Files

Correspondence and subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration.

Destroy when 2 years old. (GRS 7/1)

35110 General Accounting Ledgers

General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary.

Destroy 6 years 3 months after the close of the FY involved. (GRS 7/2)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-267
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Chapter 35 FINANCIAL MANAGEMENT RECORDS

35120 Appropriation Allotment Files

Allotment records showing status of obligations and allotments under each authorized appropriation. Destroy 6 years 3 months after the close of the FY involved. (GRS 7/3)

Expenditure Accounting Posting and Control Files

Records used as posting and control media, subsidiary to the general and allotment ledgers, and not elsewhere covered in this Schedule.

35130 a) Original records Destroy when 3 years old. (GRS 7/4)

35140 b) Copies Destroy when 2 years old. (GRS 7/4)

PAYROLLING AND PAY ADMINISTRATION RECORDS

35150 Individual Accounts Files

Individual earning and service cards, such as Optional Form 1127 or equivalent. Transfer to NPRC St. Louis records on separated employees when volume of records reaches 1 cubic foot. Destroy 56 years after the date of the last entry on the card. (GRS 7/1)

35160 Payroll Correspondence Files

General correspondence files maintained by payroll units pertaining to payroll preparation and processing. Destroy when 2 years old. (GRS 2/2)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Chapter 35 FINANCIAL MANAGEMENT RECORDS

Time and Attendance Reports Files

- a) Forms such as Optional Form 1130, AID 7-141, AID 760-10 or equivalent.
- 35170 (1) Payroll preparation and processing copies. Destroy after GAO audit or when 3 years old, whichever is sooner. (GRS 2/2)
- 35180 (2) All other copies. Destroy 6 months after the end of the pay period. (GRS 2/2)

Leave Application Files

Application for Leave, SF 71 or equivalent and supporting papers relating to requests for and approval of taking leave.

- 35190 a) If the time card has been initialed by the employee. Destroy at the end of pay period. (GRS 2/8)
- 36200 b) If the time card has not been initialed by the employee. Destroy after GAO audit or when 3 years old, whichever is sooner. (GRS 2/8)
- Leave record cards such as OF 1137 or equivalent maintained separately from pay and earnings records, and OF 1130 when used as a leave record.
- 35210 a) Pay or fiscal copies. Destroy when 3 years old. (GRS 2/9)
- 35220 b) Other copies. Destroy 3 months after the end of the period covered. (GRS 2/9)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-269
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Chapter 35 FINANCIAL MANAGEMENT RECORDS

Leave Data Files

Records of leave data, such as SF 1150, prepared except as noted in the Federal Personnel Manual, 293-A-3.

- | | | | | |
|--------------------|----|---------------------------|-----------------------------------------|----------|
| 35230
personnel | a) | Original copy of SF 1150. | File on right of
folder. (GRS 2/10) | official |
| 35240 | b) | All other copies. | Destroy when 3 years
old. (GRS 2/10) | |

Notification of Personnel Action Files

- | | | |
|-------|----------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|
| 32250 | Copies of SF 50 or equivalent, not filed in the Official Personnel Folder. | Destroy when related pay records are audited by GAO or when 3 years old, whichever is sooner. (GRS 2/11) |
|-------|----------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|

35260 Budget Authorization Reference Files

- | | |
|---------------------------------------------------------------------------------------------------------------------|-------------------------------------|
| Copies of budget authorization in operating payroll units used to control personnel ceilings and personnel actions. | Destroy when superseded. (GRS 2/12) |
|---------------------------------------------------------------------------------------------------------------------|-------------------------------------|

Payroll Files

Memorandum copies of payrolls, check lists, and related certification sheets, such as: SF 1013A, SF 1128A or equivalents.

- | | | | |
|-------|----|---------------------------------------|------------------------------------------------------------------------------|
| 35270 | a) | If earning record card is maintained. | Destroy after GAO audit or when 3 years old, whichever is sooner. (GRS 2/13) |
|-------|----|---------------------------------------|------------------------------------------------------------------------------|

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-271
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Chapter 35 FINANCIAL MANAGEMENT RECORDS

Administrative Payroll Report Files

Reports, statistics, with supporting and related records, pertaining to payroll operations and pay administration.

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|-------|----|-----------------------------------------------------------------------|--------------------------------------|
| 35350 | a) | Reports and data used for workload and personnel management purposes. | Destroy when 2 years old. (GRS 2/17) |
| 35360 | b) | All other reports and data. | Destroy when 3 years old. (GRS 2/17) |

Tax Files

- | | | | |
|-------|----|----------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| 35370 | a) | Withholding tax exemption certificates, such as IRS Form W-4, and similar state tax exemption forms. | Destroy 4 years after form is superseded or obsolete. (GRS 2/18) |
| 35380 | b) | Returns on income taxes such as IRS Form W-2. | Destroy when 4 years old. (GRS 2/18) |
| 35390 | c) | Reports of withheld Federal taxes, such as IRS Form W-3 with related papers, including reports relating to income and social security taxes. | Destroy when 4 years old. (GRS 2/18) |

Retirement Files

- | | | | |
|-------|----|------------------------------------------------------------------------------------------------------------------------|--------------------------------------|
| 35400 | a) | Reports and registers | |
| | | Reports, registers or other control documents, and other records relating to retirement such as SF 2807 or equivalent. | Destroy when 3 years old. (GRS 2/21) |

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-273
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Chapter 35 FINANCIAL MANAGEMENT RECORDS

35410

b) Assistance Files

Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits.

Destroy when 1 year old.
(GRS 2/21)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

CHAPTER 36

MOTOR VEHICLE MAINTENANCE AND OPERATION RECORDS

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
36010	<u>Motor Vehicle Correspondence Files</u> Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this part of the Schedule.	Cut off file at end of FY. Destroy when 2 of years old. (GRS 10/1)
	<u>Motor Vehicle Operating and Maintenance Files</u>	
36020	a) Operating records including those relating to gas and oil consumption, dispatching, and scheduling.	Destroy when 3 months old. (GRS 10/2)
36030	b) Maintenance records, including those relating to service and repair.	Destroy when 1 year old. (GRS 10/2)
36040	<u>Motor Vehicle Cost Files</u> Motor vehicle ledger and work sheets providing cost and expense data.	Destroy 3 years after discontinuance of ledger or date of work sheet. (GRS 10/3)
36050	<u>Motor Vehicle Accidents Files</u> Records relating to motor vehicle accidents, maintained by transportation offices.	Destroy 6 years after case is closed. (GRS 10/5)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-275
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Chapter 36 MOTOR VEHICLE MAINTENANCE AND OPERATION RECORDS

36060 Individual Motor Vehicle Files

Case files on individual vehicles including but not limited to Form AID 5-197 Motor Vehicle Record and records relating to transfer, sale, donation or exchange of vehicles.

Destroy 4 years after vehicle leaves Mission custody. (GRS 10/6)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

CHAPTER 37

PERSONNEL RECORDS

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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Personnel Files

	a)	Official Personnel Folders	
37010	(1)	Foreign Service National Employees	Retire to PER/MTG/RR/P, Dept. of State, Wash., D.C., 1 year after date of employee separation.
	(2)	Foreign National Contract Employees	
37020	(a)	When no separate contract file is maintained elsewhere.	Destroy 6 years 3 months after termination of contract.
37030	(b)	When separate contract file is maintained elsewhere.	Destroy 1 year after termination of contract.
37040	(3)	American Family members in FSN/AFM designated positions.	Transfer folder to the National Personnel Records Center, St. Louis, Missouri 30 days after separation. NPRC will destroy 75 yrs. after birth date of employee. (60 years after the date of earliest document in the folder if the date of birth cannot be ascertained) or 5 years after separation, whichever is later.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-277
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Chapter 37 PERSONNEL RECORDS

b) Unofficial Personnel Folders

(1) U.S. Direct Hire Employees

- | | | | |
|-------|-----|---------------------------------|--------------------------------------------------------------------------------------------|
| 37050 | a) | Transferred to another U.S. AID | Transfer file immediately to the new post. |
| 37060 | b) | Transferred to AID/W | Destroy 1 year after departure of employee. |
| 37070 | c) | Separated at post. | Destroy 1 yr after separation of employee. |
| 37080 | (2) | U.S. Contract(or) Employees | Destroy 1 year after termination of contract or departure of employee whichever is sooner. |

Position Classification Files

- | | | | |
|-------|----|--------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|
| 37090 | a) | Position Classification Standards Files. | Destroy when superseded or obsolete. (GRS 1/7) |
| | | Standards and Guidelines used to classify or evaluate position within the Agency. | |
| 37100 | b) | Position Descriptions | Destroy 5 years after position is abolished or description superseded. |
| | | Files describing established positions including information on title, series, grade, duties and responsibilities. | |

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-279
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Chapter 37 PERSONNEL RECORDS

37150 c) Length of Service Files. Destroy when 1 year old.

Records including correspondence, memoranda, reports, computations of service and list of awardees.

37160 d) Letters of Commendation and Destroy when 2 years
Appreciation. old.

Copies of letters recognizing length of service and retirement, letters of appreciation, commendations for performance, EXCLUDING copies filed in the OFFICIAL Personnel Folder.

37170 Incentive Awards Program Reports

Reports pertaining to the operation of the Incentive Awards Program. Destroy when 3 years old. (GRS 1/13)

37180 Notifications of Personnel Actions

Standard Form 50 documenting initial employment, promotions, transfers in or out, separations, and all other individual personnel actions, exclusive of those in Official Personnel Folders. Destroy when 1 year old.

Personnel Operations Statistical Reports

Statistical reports in the operating personnel office relating to personnel.

37190 a) Month end reports Destroy when 2 years
old. (GRS 1/16)

37200 b) Calendar year end and fiscal Destroy when 10 years
year end reports. old. (GRS 1/16)

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Chapter 37 PERSONNEL RECORDS

Correspondence and Forms Files

Operating personnel office records relating to individual employees not maintained in Official Personnel Folders and not provided for elsewhere in this Schedule.

- | | | | |
|-------|----|-----------------------------------------------------------------|---------------------------------------------|
| 37210 | a) | Correspondence and forms relating to pending personnel actions. | Destroy when action is complete. (GRS 1/17) |
| 37220 | b) | All other correspondence and forms. | Destroy when 6 months old. (GRS 1/17) |

37230 Equal Employment Opportunity Records

Copies of Complaint Case Files: duplicate case files or documents pertaining to cases retained in Official Discrimination Complaint Case Files.	Destroy 1 year after resolution of case. (GRS 1/26b)
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Training Records (AID Employees)

- | | | | |
|-------------------|-----|------------------------------------------------------------------------------------------------------------|---------------------------------------|
| a) Training Aids. | | | |
| 37240 | (1) | One copy of each manual, syllabus, textbok, and other training aid developed for Agency-specific training. | Permanent. Transfer as per Item 31030 |
| 37250 | (2) | Training materials developed for administrative or facilitative subjects. | Destroy when obsolete or superseded. |

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-281
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Chapter 37 PERSONNEL RECORDS

- b) General file of Agency sponsored training:
- 37260 (1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences. Destroy when 5 years old.
- 37370 (2) Background and work papers. Destroy when 3 yrs. old.
- 37380 c) Employee Training.
Correspondence, memoranda, reports and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-government institutions. Destroy when 5 yrs. old or when superseded or obsolete, whichever is sooner.
- 37390 d) Course Announcement Files.
Reference file of pamphlets, notices, catalogs and other records which provide information on courses or programs offered by government or non-government organizations. Destroy when superseded or obsolete.

Grievance, Disciplinary and Adverse Action Files

- 37400 a) Grievance, Appeals Files (5 CFR 771). Destroy 3 yrs. after case is closed.
- Records originating in the review of grievance and appeals raised by agency employees, except EEO companies.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Chapter 37 PERSONNEL RECORDS

b) Adverse Action Files (5 CFR 752).

Adverse files and related records created in reviewing an adverse action (disciplinary or non-disciplinary removal, suspension, absent without official leave, reduction-in-force) against an employee.

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|-------|-----|-------------------------------------|-----------------------------------------------|
| 37410 | (1) | U.S. Citizen direct-hire employees. | Forward material to AID/W M/PM/OD for filing. |
| 37420 | (2) | All other employees. | Destroy 4 yrs. after case is closed. |

Personal Injury Files

Forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made.

- | | | | |
|-------|----|-------------------------------------|-----------------------------------------------|
| 37430 | a) | U.S. citizen direct hire employees. | Forward material to AID/W M/PM/OD for filing. |
| 37440 | b) | Foreign service national employees. | File in Official Personnel folder. |

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-283
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

CHAPTER 38

PROCUREMENT AND SUPPLY RECORDS

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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38010	<u>General Correspondence Files</u>	
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Correspondence files of operating procurement units concerning internal operation and administration matters not covered elsewhere in this Schedule.

Cut off file at end of fiscal year. Destroy when 2 years old. (GRS 3/3)

Routine Procurement Files

Contract, requisition, purchase, order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in Item 38010 above).

- a) Procurement or purchase organization copy, and related papers.

38020	(1) Transactions of more than \$25,000.	Destroy 6 years and 3 months after final payment. (GRS 3/4)
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38030	(2) Transactions of \$25,000 or less.	Destroy 3 years after payment. (GRS 3/4)
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38040	b) Obligation copy.	Destroy when funds are obligated. (GRS 3/4)
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Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Chapter 38 PROCUREMENT AND SUPPLY RECORDS

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|-------|----|----------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------|
| 38050 | c) | Other copies of records above used by component elements of an office for administrative purposes. | Destroy upon termination or completion of procurement action.
(GRS 3/4) |
|-------|----|----------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------|

Supply Management Files

Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature).

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|-------|----|--------------------------------------------------------------------------------------------|---------------------------------------|
| 38060 | a) | Copies received from other units for internal purposes for transmission to staff agencies. | Destroy when 2 yrs. old.
(GRS 3/5) |
| 38070 | b) | Copies in other reporting units and related work papers. | Destroy when 1 yr. old.
(GRS 3/5) |

Solicited and Unsolicited Bids and Proposals Files

- | | | | |
|-------|-----|-------------------------------------------------|-------------------------------------------------------------------------------------|
| 38080 | a) | Successful bids on proposals. | Destroy with related contract case files (see Items 38020 thru 38050).
(GRS 3/6) |
| | b) | Unsuccessful bids and proposals. | |
| 38090 | (1) | When filed separately from contract case files. | Destroy with related contract when completed.
(GRS 3/6) |
| 38100 | (2) | When filed with contract case file. | Destroy with related contract case files (see Items 38020 thru 38050).
(GRS 3/6) |

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-285
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Chapter 38 PROCUREMENT AND SUPPLY RECORDS

Reproduction and Distribution Files

Records relating to requisitions for printing and all supporting papers.

38110	a)	Printing procurement unit copy of requisition, invoice, specifications and related papers.	Destroy 3 yrs. after completion or cancellation of requisition. (GRS 3/7)
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38120	b)	Accounting copy of requisition.	Destroy 3 yrs. after period covered by related account. (GRS 3/7)
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38130 Nonpersonal Requisition File

Requisitions for nonpersonal services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts, Chapter 36, Items 35010, 35020).	Destroy when 1 yr. old. (GRS 3/8)
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Equipment and Supplies Requisition File

Requisition for supplies and equipment for current office use.

38140	a)	Stockroom copy.	Destroy 2 yrs. after completion or cancellation of requisition. (GRS 3/9)
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38150	b)	All other copies.	Destroy 6 months after requisition is filled. (GRS 3/9)
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38160 Unique Procurement Files

Procurement files (as in Items 38020 thru 38050) documenting the initiation and development of transactions that deviate from established procedures	Send report of files holdings to M/SER/MO/PA/RM. (GRS 3/1)
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Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

with respect to general Agency
procurement programs.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-287
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

CHAPTER 39

PROPERTY RECORDS

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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39010	<u>Property Disposal Correspondence Files</u>	
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Correspondence files maintained by units responsible for property disposal, pertaining to their operation and administration, and not otherwise provided for.	Destroy when 2 yrs. old. (GRS 4/4)
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39020	<u>Non-expendable Personal Property Reports</u>	
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	Destroy when 3 yrs. old. (GRS 4/5)
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Excess Property Case Files

Case files on sales or donation of personal property, comprising invitations, bids, acceptance, lists of materials, evidence of sales or transfer, and related correspondence.

39030	a) Transactions after July 25, 1974, of more than \$10,000; and transactions before July 26, 1974, of more than \$2,500.00	
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	Cut off file when all actions are completed. Destroy 6 yrs. after cutoff. (GRS 4/6)
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39040	b) Transactions after July 25, 1974, of \$10,000 or less; and transactions before July 26, 1974, of \$2,500 or less.	
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	Cut off file when all actions are completed. Destroy 3 yrs. after cutoff. (GRS 4/6)
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Non-expendable Personal Property Files

Correspondence, reports and other records on sales or donation of Mission property not covered elsewhere in this Schedule.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Chapter 39 PROPERTY RECORDS

39050	a)	Files pertaining to the donation of U.S. owned personal property under Section 607 of the Foreign Assistance Act of 1961, as amended.	Cut off file when all actions are completed. Destroy 6 yrs. after cutoff.
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Property Inventory Files

39060	a)	Inventory lists.	Destroy 2 yrs. from date of list. (GRS 3/10)
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39070	b)	Inventory cards.	Destroy 2 yrs. after discontinuance of item or 2 years after stock balance is transferred to new card or recorded under a new classification, or 2 years after equipment is removed from U.S. AID control.
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39080 Building Services Files

Copies of work orders and related records on work done pertaining to repairs and upkeep of U.S. AID property, equipment and facilities.	Destroy 3 fiscal years following close of FY in which work is done.
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39090 Housing Furnishing Accountability Files

Listings of items of furniture and appliances assigned to individual staff housing for which accountability is established.	Destroy 3 fiscal years after close of FY in which inventory is superseded.
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AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-289
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Chapter 39 PROPERTY RECORDS

39100 Leases

Administrative copies of documents
on leased housing and other properties.

Destroy 3 fiscal years
following close of FY in
which (a) lease termin-
ation lapse or cancel-
lation occurs, or (b)
litigation is concluded,
whichever is later.

AID-owned Real Property Records

- | | | | |
|-------|----|-------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|
| 39110 | a) | All original records pertaining
to real property acquisitions. | Send to SER/MS/OM/OPM,
Washington. |
| 39120 | b) | Copies of real property acquisi-
tion documents. | Retain copy at Mission
until property is
disposed of, then
transfer to
SER/MS/OM/OPM,
Washington. |

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

CHAPTER 40

TRAVEL AND TRANSPORTATION RECORDS

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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Freight Files

Records relating to freight consisting of export certificates, transit certificates, demurrage cards, record books, shipping documents pertinent to freight classification, memorandum copies of Government or commercial bills of lading, shortage and demurrage reports and all supporting documents, including records relating to the shipment of household goods.

40010	a)	Issuing office memorandum copies other than those identified in 40040 below.	Destroy 3 yrs. after the period of the account. (GRS 9/1)
40020	b)	All other copies.	Destroy when 1 year old. (GRS 9/1)
40030	c)	Registers and control records other than those identified in	Destroy when 3 yrs. old. (GRS 9/1)
40040	d)	Records, including registers and control records, on international shipments of household goods moved by freight forwarders.	Destroy 6 yrs. after the period of the account. (GRS 9/1)
40050	e)	Case files (by employee name) documenting the various shipments (HHE, UAB, POV, etc.) of personal effects while the individual is assigned to post. Includes final departure shipment.	Close file when all actions, payments and claims been settled following final shipment. Destroy 6 yrs. after closing. (GRS 9/1)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-291
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Chapter 40 TRAVEL AND TRANSPORTATION RECORDS

40060 Lost or Damaged Shipments Files

Schedules of valuables shipped, correspondence, memoranda, reports, and other records relating to the administration of the Government Losses in Shipment Act. Destroy when 3 yrs. old.
(GRS 9/2)

Passenger Transportation Files

Memorandum copies of vouchers (SF 1113A), memorandum copies of transportation requests (SF 1169), or equivalent, travel authorizations, transportation request registers, and all supporting papers.

- | | | | |
|-------|----|----------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 40070 | a) | Travel administrative office files. | Destroy when 3 yrs. old.
(GRS 9/3) |
| 40080 | b) | Obligation copies. | Destroy when funds are
obligated. (GRS 9/3) |
| 40090 | c) | Name Files - Case files which document reimbursements to and on behalf of the individual employee. | Close files when all action, payments, and claims have been settled following employee's departure from post or termination of employment. Destroy 6 yrs. after closing. (GRS 9/3) |

Passenger Reimbursement Files

Records relating to reimbursing vouchers, transportation requests, hotel reservations, and all supporting papers, documenting official travel by officers, employees, dependents, or others authorized by law to travel.

- | | | | |
|-------|----|-------------------------------------|---------------------------|
| 40100 | a) | Travel administrative office files. | Destroy when 3 years old. |
| 40110 | b) | Obligation copies. | Destroy when funds are |
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Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

obligated.

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-293
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

Chapter 40 TRAVEL AND TRANSPORTATION RECORDS

- 40120 c) Name Files - Case files which Close files when all
document reimbursements to and action, payments, and
on behalf of the individual claims have been
employee. settled following
employee's departure
from post or termination
of employment. Destroy
6 years after closing.

General Travel and Transportation Files

- 40130 a) Correspondence, forms and related Destroy when 2 yrs. old.
records pertaining to agency (GRS 9/5)
travel and transportation functions,
not covered elsewhere in this
Schedule.

- 40140 b) Accountability records. Destroy 1 yr. after all
entries are cleared.
(GRS 9/5)

40150 Foreign Country Customs Records

Records relating to customs activities
in foreign ports on all incoming and
outgoing AID shipments of goods.
Includes all correspondence forms
and reports.

Cut off annually the
files on all cleared
shipments. Destroy 3
yrs after cut off.

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

APPENDIX 6B

INDEX TO U.S. AID SCHEDULE

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-295
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

PAGE NO. IN
APP. 6B

-A-

Accidents, Report	
Employees files.....	38
Vehicles files.....	30
Accountable Officer Files.....	20
Accountability Records Files.....	47
Accounting Administrative Files.....	22
Accounting Files	
Posting.....	24
General Ledgers.....	23
Administrative Management Files	
Conferences, Meetings and Seminars.....	2
Directives.....	13
Payroll Reports.....	27
Project Control.....	14
Publications.....	13
Office Subject Files.....	1
Records Holdings Files.....	14
Records Management Files.....	19
Supply Management Files.....	40
Travel.....	46
Working Papers.....	14
Adverse Action Files (see Grievance)	
Allotment Files (see Appropriation)	
Announcement Course Files.....	37
Annual Budget Submission Files	
Appeals (see Grievance)	
Application for:	
Leave.....	25
Postal Registration and Certificates.....	17
Appropriation Allotment.....	24

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Assistance Files.....29

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-297
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

PAGE NO. IN
APP. 6B

Audit Files

General Accounting Office, Exceptions.....	22
Inspections and Investigations.....	15
Internal and Regional.....	15
Site audit records.....	20

Authorization

Budget.....	26
Disposal.....	16

Awards Files

Employees.....	34
Incentive.....	35

-B-

Background Files

Work Paper Files.....	37
Complaint Case Files.....	36

Bids, Solicited and Unsolicited.....40

Bills of Lading, Commercial.....45

Budget Records Files

Apportionment Files.....	16
Correspondence Files.....	16
Records Files.....	16
Reports Files.....	16

-C-

Cable Files.....2

Cargo Files, Distressed.....8

Centralized or Decentralized Files.....1

Chronological Files.....2

Classification Standards Files, Position.....33

Commendation, Letters of Appreciation.....35

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Communication and Records (see Records Management)

Conferences, Meetings and Seminar Files.....2

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-299
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

PAGE NO. IN
APP. 6B

Contracts Files.....	39
Correspondence Files	
Forms Files.....	36
General Files.....	1
Motor Vehicles.....	30
Payroll.....	24
Subject.....	24
Country Development Strategy Statement (CDSS).....	6
Country Files.....	2
Customs Records, Foreign Country.....	47
-D-	
Damage, Loss Reports.....	8
Decentralized Files (see General Correspondence)	
Delivery (see Mail Service)	
Development	
Country Development Strategy.....	6
Housing, Urban.....	11
Directives Files.....	13
Disciplinary (see Grievance)	
Disposal (see Property Correspondence)	
Distressed Cargo Files.....	8

-E-

Employee	
Awards Files.....	34
Contractual.....	32
Foreign Service and Nationals.....	32
Length of Service.....	35

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Letters of Commendation, Appreciation.....35

Training.....37

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-301
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

PAGE NO. IN
APP. 6B

End Use Reporting.....	8
Equal Employment Opportunity Records.....	36
Evaluation (see Implementation)	
Exceptions (see Application of Schedules)	
Excess	
Personal Property Files.....	42
Personal Property Reports.....	42
Property Files.....	8
Property Case Files.....	42
Expenditures Accounting Posting	
Control Files.....	24
General Correspondence and Subject.....	23

-F-

Famine Relief and Other Assistance.....	9
Files, General.....	9
Financial (CIP) Files.....	7
Fiscal Schedules Files.....	24
Foreign Country Customs Records.....	47
Foreign Service Employees, Nationals.....	32
Forms, Correspondence.....	36
Freight Files.....	45

-G- -H- -I-

General Accounting Office Exception Files.....	22
General Files.....	9
Centralized or Decentralized.....	1
Correspondence Files.....	39

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Ledgers, Accounting.....23

Fund.....22

Travel and Transportation.....46

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-303
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

PAGE NO. IN
APP. 6B

Government Bills of Lading.....	45
Grant Agreements Files.....	4
Grievance, Disciplinary Adverse Action.....	37
Holdings, Records Files.....	14
Housing and Urban Development Projects.....	11
Incentive Awards Program Reports.....	35
Individual	
Accounts Files.....	24
Motor Vehicles Files.....	31
Injury, Personal.....	38
Implementation and Evaluation.....	10
Inventory Requisition.....	41

-J- -K- -L-

Leave	
Application Files.....	25
Data Files.....	26
Records Files.....	25
Letters of Transmittal Files.....	3
Loan Agreements.....	4
Lost, Damaged Shipments Files.....	46

-M- -N- -O-

Mail and Delivery Service Control Files.....	17
Messenger Service Files.....	17
Mission Orders.....	13

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-305
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

PAGE NO. IN
APP. 6B

Motor Vehicles

Accident Files.....	30
Correspondence Files.....	30
Cost, Vehicle.....	30
Individual.....	31
Operating and Maintenance.....	30

Non-Personal Requisition Files.....	41
-------------------------------------	----

Non-Project (Program) Procurement Files.....	7
----------------------------------------------	---

Notices.....	13
--------------	----

Notification of Personal Actions Files.....	35
---------------------------------------------	----

Obligations.....	16
------------------	----

Official-Quasi Notices.....	3
-----------------------------	---

-P- -Q-

Participant Training Files.....	5
---------------------------------	---

Passenger

Reimbursement Files.....	46
Transportation Files.....	46

Payroll

Administrative Files.....	27
Changes Files.....	27
Correspondence Files.....	24
Control Files.....	26

Personal Injury Files.....	38
----------------------------	----

Personnel

Foreign Service Employees Work Files (Unofficial Personnel Folders).....	33
Operating Statistical Reports.....	35
Surety Bond Files.....	23

Position Classification Files.....	33
------------------------------------	----

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Postal Records Files.....17

Printing Files.....41

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-307

PAGE NO. IN
APP. 6B

Procurement Files

Routine.....	39
Supply.....	40
Unique.....	41

Program (non-Project) Procurement Files.....	7
----------------------------------------------	---

Project Files

Identification Documents.....	4
Implementation Letters and Orders.....	4
Papers.....	4
Plan.....	4
Procurement Advice.....	6
Review Summary Reports.....	5
Technical Assistance.....	4

Property Files

Disposal Correspondence Files.....	42
Inventory Files.....	43

Publication Files.....	13
------------------------	----

Quarterly Obligations.....	16
----------------------------	----

Quasi-Official Notice.....	3
----------------------------	---

-R-

Reading Files.....	2
--------------------	---

Records Management Communications.....	19
Mail and Delivery Service.....	17
Messenger Service.....	17
Postal Records.....	17
Records Holdings.....	14

Reference Files.....	3
----------------------	---

Regional Files

Audit Reports.....	15
Inspection and Investigations.....	15
Technical Assistance Projects.....	12

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Reimbursement (see Passenger)

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-309
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

PAGE NO. IN
APP. 6B

Reports Files

Audit (Regional).....	15
Budget.....	16
Damage/Loss.....	8
End Use.....	8
Excess Property.....	42
Incentive Awards Program.....	35
Inspections and Investigations.....	15
Progress.....	5
Records Holdings.....	14
Statistical.....	7
Time and Attendance.....	25

Routine Procurement Files.....	39
--------------------------------	----

-S-

Seminar Files (see Conferences)

Solicited and Unsolicited Bids and Proposals.....	40
---------------------------------------------------	----

Staff Working Files.....	3
--------------------------	---

Standards, Position Classification.....	33
Commodity Import Program.....	7
Postage and Fees.....	17
Personal Operations.....	35

Strategy (see Country Development)

Subject Files

Administrative.....	1
Foreign Service Nationals.....	32
Personnel.....	32
Program.....	1

Supply Management Files.....	40
------------------------------	----

Supplies and Equipment (see Inventory)

Surveys, Classification.....	3
------------------------------	---

-T-

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Tax Files.....28

Technical Assistance Project Files.....4

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-311
---------------------------	-------------------------------------	-------------------------------------------	---------------------------

PAGE NO. IN
APP. 6B

Time and Attendance Reports.....	25
Title II, Voluntary Agency Program.....	9
Title III, Implementation and Evaluation.....	10
Training	
Participants Files.....	5
Records (Employees).....	36
Travel and Transportation	
General.....	47
Passengers.....	46
Vouchers.....	22
Transitory Files.....	2
Transmittal Letters.....	3
-U- -V- -W-	
Unique Procurement Files.....	41
Urban Development (Housing).....	11
Unsolicited Bids.....	40
Vehicles, Motor (see Motor Vehicles)	
Voluntary Agency Programs.....	9
Vouchers	
General.....	21
Transportation.....	22
Work Orders Files.....	43
Working Papers Files.....	14

Page No.	Effective Date October 27, 1993	Trans. Memo. No. 21-II:20	AID Handbook 21-II
-----------------	-------------------------------------------	-------------------------------------	---------------------------

Appendix 6C

See **Mandatory Reference for ADS 502 entitled Electronic Records Disposition Schedule.**

AID HANDBOOK 21-II	Trans. Memo. No. 21-II:20	Effective Date October 27, 1993	Page No. 6A-313
---------------------------	-------------------------------------	-------------------------------------------	---------------------------